

Developing Leaders

120 Hours – TCOLE Course #37001



Presented by:

***Texas Police Chiefs Association
Foundation***

P.O. Box 819, Elgin, Texas 78621



Welcome to a Texas Police Chiefs Association Foundation (TPCAF) training session. Thank you for participating in some of the best leadership focused training in Texas. Whether you are seeking the coveted Law Enforcement Command Officer Professional (LECOP) status or taking an individual class to sharpen your skill set, we hope you find this class personally and professionally rewarding.

Proceeds from training sessions like this support the TPCA Foundation's work, including the Fallen Officer Fund. The Fallen Officer Fund provides a \$10,000 check to the family of any peace officer killed in the line of duty in Texas. This includes Federal, State, county, local, and other peace officers working in Texas. The goal of the Fallen Officer Fund is to assist the family with any immediate needs by providing funds within 24-48 hours after the line of duty death. The family of a fallen officer should not have to worry about having money to pay a bill, flying in family from out of town, buying groceries, or any other need. Your attendance at this training session directly supports these families.

We encourage you to consider becoming a member of the Texas Police Chiefs Association (TPCA). TPCA is the largest association of police leaders in Texas and one of the largest state police chiefs associations in the nation. TPCA provides members with professional networking opportunities, a voice on legislative matters, resources, training opportunities, and access to model policies through the Texas Law Enforcement Accreditation Program. Please visit www.texaspolicechiefs.org for more information.

We hope you will check out our course catalog at [Texas Police Chiefs Association Conference & Training Site](#) to learn more about other training opportunities available.

Please consider donating to the Fallen Officer Fund

TEXAS POLICE CHIEFS ASSOCIATION FOUNDATION

To make a difference, please scan below



TEXAS POLICE CHIEFS ASSOCIATION FOUNDATION

TRUCK RAFFLE

2025 Chevrolet Trail Boss Valued at \$60,000
Approximate Value

 100% of Proceeds Benefit the TPCAF Fallen Officer Fund

Tickets
\$100 each

[Click Here To Purchase](#)

Drawing to be held:
April 17, 2025

Winner need not be present to win

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Winner assumes responsibility for all taxes and registration fees.

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Actual Truck Not Pictured



TPCA Training



Open To All Texas Law Enforcement Agencies

-  Classes offered throughout different regions of Texas
-  Aims to provide the very best of executive and command level training for chiefs, commanders and supervisors to lead and manage throughout their organizations
-  Classes are focused on leadership with common themes of fairness, dignity, respect, trust and non-biased practices that create healthy organization and community confidence.

Details &
Registration
Here



TRAINING TOMORROW'S LEADERS TODAY!



LECOP

Law Enforcement Command Officer Program

Earn acknowledgment as a trained Law Enforcement Command Officer by completing a series of 10 training courses. Classes are open to all Texas Law Enforcement Agencies and designed to develop leadership skills and apply those skills to specific assignments.

TRACK A

Focuses on Individual Leadership Skills

TRACK B

Focuses On Leadership In An Organization & Influencing Culture



TEXAS POLICE CHIEFS ASSOCIATION

66th Annual Conference

APRIL 14-17, 2025
Galveston Convention Center



- Training Opportunities
- 200+ Vendor Booths
- Speakers
- Golf Tournament
- Run 2 Remember
- Networking



Plan on attending the annual TPCA Conference.

Register at [Texas Police Chiefs Association Conference & Training Site](#)

Texas Law Enforcement Accreditation Program



The Texas Police Chiefs Accreditation Program allows Law Enforcement Agencies to voluntarily demonstrate compliance with over 170 best practices, developed by professionals, to ensure efficient service delivery and protection of individual rights.



External Review of policies & operations



Enhances knowledge of policing & procedures



Decreased exposure to liability risk & cost



Demonstrates to the community the police department meets or exceeds the highest standards of Law Enforcement excellence





WHAT YOU NEED TO KNOW:

- Open to all Law Enforcement Agencies
- Financial obligations: new application fee, annual program fee, travel costs for review team
- Program manager is required to complete 8 hours of program training - Agency heads are highly encouraged to attend
- Agency has two years to complete the process
- Accredited status is granted for four years. During this period, agencies are required to submit annual reports to demonstrate ongoing compliance with relevant standards
- Participating entities may qualify for scholarship to cover initial fee



www.texaspolicechiefs.org

PROFESSIONAL SERVICES



The Texas Police Chiefs Association (TPCA) is the largest association of police executives in Texas and one of the largest state police chiefs associations in the country. With a diverse group of experts in all areas of policing, TPCA provides a wide range of professional services to Texas governmental entities.

Police Chief Search and Selection

Staffing Studies

Executive Level Training

Comprehensive Organizational Studies

Strategic Planning

Accreditation Program

POLICE CHIEF SEARCH AND SELECTION

The Texas Police Chiefs Association offers valuable technical assistance in evaluating resumes and pinpointing credible candidates. Utilizing these resources can enhance your ability to choose the most suitable candidate for your department. Additionally, the Association can deliver a comprehensive selection process, typically at a significantly lower cost than many consulting firms.

STAFFING STUDIES

We provide Staffing Studies that use the IACP and ICMA recommended workload models to determine the staffing options for various policing strategies.

COMPREHENSIVE ORGANIZATIONAL STUDIES

A comprehensive Organizational Audit is beneficial, as it examines all departmental operations to ensure adherence to legal standards and best practices. This evaluation provides an analysis of crime control strategies, necessary staffing levels, and may include an anonymous employee survey.

STRATEGIC PLANNING

A roadmap providing organizational direction can be an effective management and budget tool. TPCA can assist law enforcement agencies in developing a strategic plan and can facilitate the strategic planning process for other city departments.

EXECUTIVE LEVEL TRAINING

TPCA provides quality training around the state. The Law Enforcement Command Officers Program (LECOP) offers a series of 10 courses to command level officers and supervisors covering the full range of law enforcement operations including Developing Leaders, Managing Administrative Operations, Patrol, Traffic, Special Operations and Criminal Investigations. Upon completing the full course series, they receive a LECOP Certificate and special recognition. All TPCA classes emphasize the importance of Leadership.

ACCREDITATION PROGRAM

A nationally recognized program with over 170 standards outlining best practices for law enforcement agencies in Texas. This program includes independent review of policies and operations of an agency, ensures efficient service delivery to the public, protection of individual rights, and decreased exposure for liability and risk.

FOR MORE INFORMATION PLEASE EMAIL
GELLIS@TEXASPOLICECHIEFS.ORG
OR CALL 512-281-5400



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Texas Police Chiefs Association Foundation

Overview and Macro Curriculum

Developing Leaders for Texas Law Enforcement

Rationale:

A leader's job is to achieve the goals of the organization and satisfy the needs of individual employees. In addition, a leader must develop individuals who are capable of making future contributions to organizational goals, acting like leaders when called upon, and becoming formal leaders in the future. Employees are increasingly looking to the leaders in their workplace to support their development as a whole person, not just as an employee who makes a job contribution. The leader must also develop the organization's capacity to adapt to rapid change brought about by new environments and missions and to perform at higher levels in more complex situations. Frequently, leaders may find themselves in situations where it seems impossible to accomplish all of these goals. This course will focus on such dilemmas.

Overview:

This is a 120 hour course which is presented in three 40 hour weeks over a three month period. The course will provide instruction from the behavioral sciences that is both scientific and practical, with discussions, question and answer sessions, readings, video instruction and case studies as presentation methods. Detailed lesson information is included in the Student Guides. The course is designed for all members of any law enforcement agency sworn or civilian from FTO/PTO/1st line supervisor through the executive level.

Course Goals:

At the conclusion of this course, the participant will:

- Understand and apply modern behavioral science and leadership theories that enhance human motivation, satisfaction, and performance in the achievement of organizational goals.
- Learn frameworks to organize their knowledge and experiences into effective leader actions.
- Integrate course content into daily leadership practices.
- Develop and achieve personal leadership abilities to the fullest potential.
- Inspire a lifelong commitment to the study and practice of effective leadership.

Schedule:

Week One	Area I – The Individual System of Organizational Leadership
Week Two	Area II – The Group System of Organizational Leadership and 3 lessons from The Leadership System of Organizational Leadership
Week Three	Three lessons from The Leadership System of Organizational Leadership and Area IV – The Organizational System of Organizational Leadership

Instructors:

Mike Alexander, Police Chief (ret.)
Larry M. Hesser, Police Chief (ret.)



Instructor Bio

James Reeves

James Reeves served for 38 years in progressively responsible positions in law enforcement and is currently serving as a School Resource Officer (SRO) National Practitioner, certified through the National Association of School Resource Officers (NASRO), as a teacher, counselor, and law enforcement officer. He leads by example with a highly visible presence in the Southlake Carroll schools to facilitate a safe learning environment, provide valuable resources to school staff, and foster a positive relationship with our nation's youth, with the primary objective of protecting every child so they can reach their fullest potential.

James currently facilitates training and professional development programs: Developing Leaders for Texas Law Enforcement, Leadership for the FTO, Enneagram Personality Types, Leadership in the Education System; and conducts School Site Threat Assessments. Based on a needs assessment identified by staff and parents, James developed and instructs Situational Awareness and Self Defense classes for female high school and college students.

Prior to his retirement, having served 25 years, from the DFW Airport Police Department in 2016, James served for 15 years in a supervisory role as Lieutenant / SWAT Commander. In preparation for Super Bowl XLV held in North Texas in 2011, James was engaged in onsite security and planning for Super Bowl XLIII (2009-Tampa, FL) and Super Bowl XLIV (2010-Miami, FL). His tactical expertise also included leading the 6-person Go-Team investigating the American Airlines crash in Kingston, Jamaica, in December 2009. Before moving to Texas, James served for 5 years in the Lake Charles Police Department in Louisiana after a brief career in restaurant ownership.

James is a graduate of the FBI National Academy (257th session), FBI Command College, IACP SWAT Commander School, and the Institute for Law Enforcement Administration (ILEA) Management and Supervision Leadership. His tactical and leadership instruction includes advanced SWAT, sniper, and Combat Shooting and Tactics (CSAT) Tactical Team Leader training. He holds a TCOLE Master Peace Officer's License and has extensive leadership and command professional training and experience.



Instructor Bio

Chief Mike Alexander

With 41 years of experience in law enforcement, Chief Mike Alexander has built a career centered on leadership development and coaching. His extensive experience includes a 25-year tenure with the Austin Police Department, where he retired as a sergeant. Following his retirement, Mike served as a Police Chief and City Manager in various Texas municipalities, and as a Major with the Texas Department of Health and Human Services Office of Inspector General, overseeing the statewide criminal investigative division of Internal Affairs.

Mike holds a bachelor's degree in criminal justice and a master's degree in Organizational Development and Leadership. He is a graduate of the Professional Christian Coaching Institute, a Certified Marriage SYMBIS Assessor, an Enneagram Personality Practitioner, and a published author. Additionally, he serves as an Executive Board Member of the Texas Municipal League Intergovernmental Risk Pool (TMLIRP), reflecting his commitment to leadership and risk management.

AREA I OVERVIEW THE INDIVIDUAL SYSTEM

- Lessons
3. Individual Differences
 4. Attribution Theory
 5. The Equity Theory of Motivation
 6. The Expectancy Theory of Motivation and Goal-Setting Theory
 7. Motivation through Consequences
 8. Intrinsic Motivation: Job Redesign and Cognitive Evaluation Theory
 9. Effective Followership
 10. Integration I

AREA OVERVIEW

Given the strong emphasis on leaders becoming tactically and technically proficient, it is critical that we do not overlook our most valuable resource—the individual men and women we lead. As we have learned, *leadership in a police organization is the process of influencing human behavior to achieve organizational goals that serve the public, while developing individuals, teams, and the organization for future service.* In short, leaders lead by working with and through other people. Leaders also have the responsibility to develop their employees. Therefore, it is critical for leaders to understand individual behavior and performance.

Each individual who joins a law enforcement organization brings a unique set of talents, skills, needs, and deficiencies. In order to maximize the performance of our employees, we must understand them and ourselves as individuals. People are different, and leaders must use different approaches to help each organizational member contribute to the accomplishment of the organizational goals.

“When you lead in battle, you are leading people, human beings...I have seen competent leaders who stood in front of a platoon and all they saw was a platoon. But great leaders stand in front of a platoon and see it as 44 individuals, each of whom has aspirations, each of whom wants to live, each of whom wants to do good.”
—General H. Norman Schwarzkopf

LESSON 3: INDIVIDUAL DIFFERENCES

Introduction

This lesson consists of:

1. The Individual as a Psychological System
2. Adult Development Theory
3. Generational Differences
4. The Leader Thought Process: Account for what is happening, Analyze and Explain
5. Student Journal Entry

Assignment

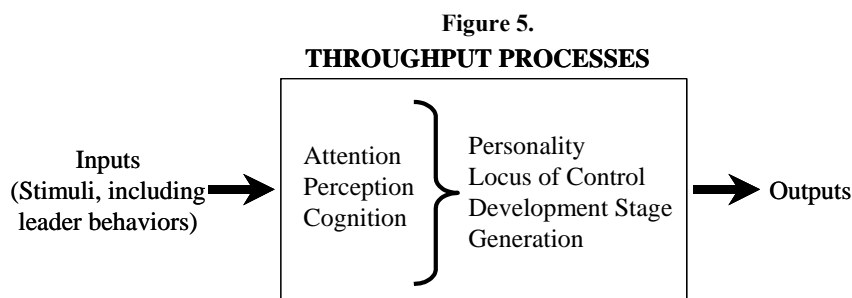
1. **Read Course Guide**, pages 3–[3234](#).
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the Areas of Interest.
 - II. **Analyze** the situation using Stages of Adult Development and Generational Differences.
 - A. **Classify** the stage of adult development.
 - B. **Identify** the major life issues associated with this stage of adult development.
 - C. **Classify** the generational membership of the employee(s) and the leader(s).
 - D. **Identify** the major issues associated with each generation's attitudes toward life and work.
 - III. A. **Explain** an **Area of Interest** in terms of how the stage of development and/or generational membership affect a person's motivation, performance, and satisfaction.
 - B. **Explain** an **Area of Interest** using the concept of the Individual as a Psychological System.
3. **Complete a Student Journal entry** on Adult Development.

Think of someone you know in your professional life, including yourself, who is going through a transition period. Briefly describe the issues facing this person and how he or she has been acting. What is the impact of the transition on this person's work motivation, satisfaction, and commitment? What is the leadership significance of a transition period?

The Individual as a Psychological System

Often, the separation between mediocrity and greatness is the leader's ability to discern, diagnose, and predict what people are thinking. For example, employee attitudes have a direct result on behavior, and ultimately upon organizational success. A leader who understands the individual strengths, weaknesses, and likely behavior of his employees (as well as himself) is in a better position to make informed, effective decisions about how best to lead and develop each member of the organization.

Why do employees behave the way they do? How can we understand these individual differences? To answer these questions, we will first look at the individual as a psychological system.



All humans exist within an environment. They respond to stimuli, process them in their own way, and create responses. The individual ways we do this can be better understood by looking at the different throughput processes (Figure 5).

Attention is the process of focusing our senses—sight, hearing, smell, touch, and/or taste—on particular stimuli in the environment. Different people notice different things, depending on physical limitations, level of awareness, and the novelty of the stimulus. Police academy employees may barely notice the sounds of the firing range, but a first-time visitor might jump out of his or her shoes when the shooting begins. Similarly, people who are shopping for a particular type of automobile may notice several of these cars on the road, whereas other vehicles pass by unnoticed. People who live close to an airport or a dairy no longer notice the sights, sounds, and smells of the place; newcomers are usually overwhelmed by these stimuli and notice little else.

Perception is the way sensory input is organized and interpreted. Perception gives meaning to the information the senses have taken in. Unfortunately, this is not a perfect process. Because we seldom have all the information required for a full interpretation, we fill in the gaps based upon our personal experience or preferences and other variables. Anyone who has interviewed numerous eyewitnesses to a crime or traffic accident is aware of how people perceive events differently, yet each believes his or her perception is correct. Most victims of armed robberies, for example, will give widely varying descriptions of the robber's appearance and other details of the event.

Cognition is thinking about inputs and forming strategies for understanding, linking, coding, and storing them. It is the highly complex process of assimilating the sensory input we have received and deciding what to do about it. Cognition involves the structuring of thoughts into symbols, language and behavior. It is a willful, discerning consideration of alternatives, often by comparison to past experiences, successes, and failures. Individual values, knowledge, intellect, and attitudes also shape cognition and influence the decisions people reach. Luckily, cognition is a dynamic process, which allows humans to learn and grow as their knowledge and experience expands. Our cognitive structures change and develop over our lifetime. This cognitive process, then, is at the heart of our aim of producing smart, thoughtful, reflective leaders—leaders who reflect on their inputs and act planfully, rather than reflexively reacting to the raw data of sensory input and previously acquired perceptual patterns and biases.

How important is perception in understanding what people do? On November 12, 2001, American Airlines flight 587 fell from the sky over New York City just after takeoff. The airplane's vertical tail section fell off the plane several minutes after it took off from JFK International Airport and was later recovered. The cause of the crash and the tail section separation are still unknown. Five people on the ground and all 260 on board perished. According to the National Transportation Safety Board, at least 349 people reported seeing the doomed flight fall from the air. Here is what these witnesses told investigators. Fifty-two percent said they saw a fire while the aircraft was in the air; twenty-two percent saw no fire. Eight percent said there was an explosion. Twenty-two percent reported seeing smoke; twenty percent saw no smoke. Eighteen percent said they saw the plane turn right; eighteen percent said they saw the plane turn left. Fifty-seven percent claimed they saw something separate from the airframe but disagreed on what it was; nine percent said nothing fell off the airplane. What is going on here?

Personality is a familiar term; it is the relatively stable, characteristic way that individuals behave and interact with others. Personality is also part of the habitual manner in which people attend to, perceive, and think about the stimuli in their environment. It can be looked upon as our unique, personal style of combining the three basic psychological processes: attention, perception, and cognition.

Locus of Control is a critical component of personality, especially in any study of leadership. Locus of control is the extent to which an individual believes he or she can have an impact on his or her environment. People with an internal locus of control believe that their own actions can influence events that occur, whether the outcome is positive or negative or somewhere in-between. In contrast, people with an external locus of control feel that other forces, other people, other circumstances, or even fate is responsible for events and outcomes and that they can have little control over what happens to them and to others.

Of course, there are many other components of personality. Others include introversion/extroversion, dogmatism, and self-esteem. Suffice it to say that as a practical matter, the aim of this initial lesson is to help leaders better understand themselves, other leaders, and their employees. By increasing leaders' awareness of psychological factors, this lesson strives to help them appreciate diverse personalities, overcome barriers to communication, and create an environment that fosters mutual understanding, employee development, and achievement of shared goals.

Adult Development Theory

As leaders, we deal with people who are in substantially different periods of adult development; some will be older and some will be younger than we are. As police leaders, for example, our patrol officers may be fifteen or more years our senior. The same might be true of our chiefs. Some sworn and civilian employees are the same age as college students, while others are substantially older. Individuals at different ages experience developmental issues that are unique to that period of adult development. How can we better understand people, including ourselves, who are in different stages of life?

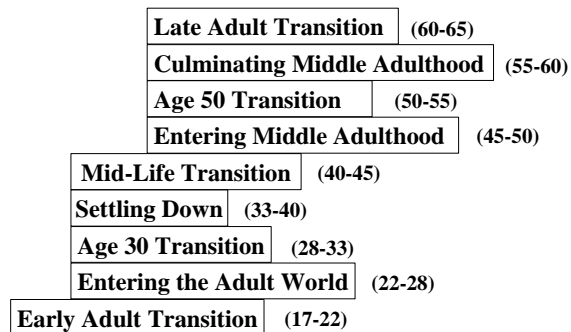
Studies by numerous respected researchers, especially Dr. Daniel Levinson, have revealed a predictable pattern to the way human beings develop. **Adult Development Theory** observes that people go through structure-building (stability) periods when they have decided what they want and are actively engaged in pursuing those goals. Alternatively, people also experience structure-changing (transition) periods when they are pondering alternatives and trying to determine which direction to take.

Clearly, a follower's stage of adult development will influence how much direction he or she seeks from a supervisor, how willing he or she is to listen to a leader's advice, and even how much motivation he or she displays toward work. The leadership challenge is to become aware of this adult development process and then to adjust your leadership behavior in a way that will best accomplish the goals of the organization while developing your followers. To effectively use Adult Development Theory, it is helpful for leaders to know the following:

1. What are the approximate age ranges of each stage?
2. What major issues is the individual dealing with at each stage?
3. How do the major issues affect motivation, performance, and satisfaction at work, and what are the implications for the leader?

Figure 6.

Adult Development The Employment Years



You will encounter people at many different stages of adult development in your work organization. The stages you are most likely to observe as a police leader are listed below (see Figure 6):

1. *Early Adult Transition* (Generally ages 17-22). This stage is characterized by instability and “leaving the nest.” The Early Adult Transition requires breaking ties with family support systems and experimenting with new adult roles.
2. *Entering the Adult World* (Approximately ages 22-28). This is a more stable period, when the individual has chosen a plan for life, such as career or marriage. Still, this phase is also characterized by a desire to explore other possibilities. People in this stage often ponder two or more opposing tasks.
3. *Age Thirty Transition* (Around ages 28-33). At this point, an individual becomes concerned with assessing his past life and questioning the choices he has made. People in this stage reevaluate the way time and money are spent, as well as the partner and/or career commitments they have made.
4. *Settling Down* (Approximately ages 33-40). Individuals in this stage have firm plans and often pursue their goals with vigor. They seek to establish a niche for themselves and/or to seek promotions within their chosen careers. Typically, people in this stage become less tolerant of the influence and control of others. Instead, they wish to be self-directed and recognized for their talents.
5. *Mid-life Transition* (Generally around ages 40-45). This is a period of considerable turmoil, as people begin to see the physical effects of aging and to realize their own mortality. Former life choices are seriously called into question; efforts to change one’s careers, love relationships, and even physical appearance are common. Conflicts are likely to arise, however, as people may feel trapped by financial, professional, or personal commitments. A more subtle form of the mid-life transition occurs when people question

whether the climb up the corporate ladder was worth all the sacrifices to personal relationships with family and friends.

6. *Entering Middle Adulthood* (About ages 45-50). This stage starts the second era of one's life just as Entering the Adult World started the first; hence there are many similarities between the two. During this period, a person implements the choices made during their Mid-life Transition. While a time of stability, one's plan is often tentative due to either the conflicts listed above or uncertainty about what one really wants as a middle adult.

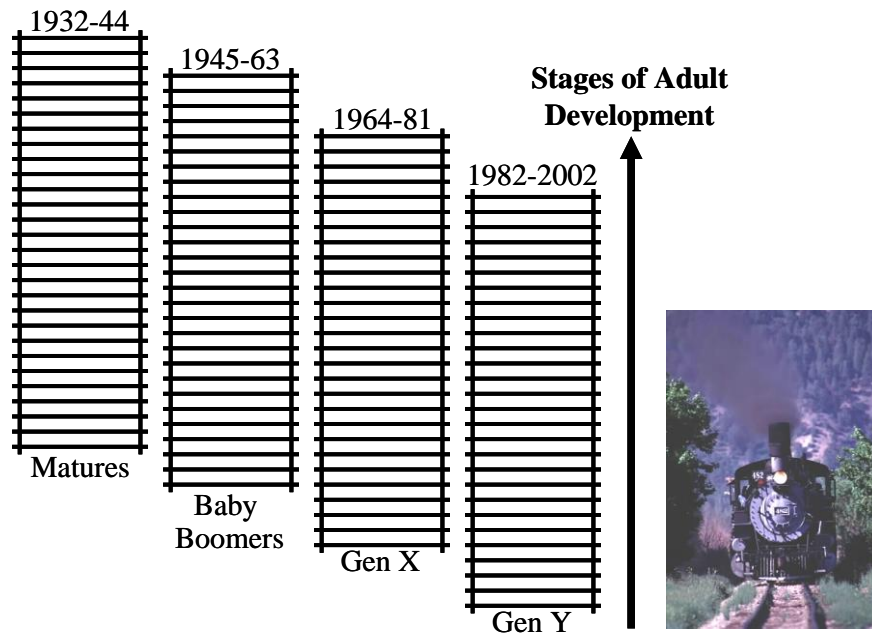
7. *Age Fifty Transition* (Usually during ages 50-55). The reexamination of one's initial Middle Adulthood plan characterizes this stage. If the Mid-life Transition was mild, then the Age Fifty Transition will likely be a significant event. Conflicts that prevented full implementation of one's Entering Middle Adulthood plan may no longer exist. Additionally, experimentation during Entering Middle Adulthood has provided feedback on new interests and priorities. These data may drive refinements leading to a new, improved life plan.

8. *Culmination of Middle Adulthood* (Generally between ages 55-60). This period is one of stability designed to implement choices made during the Age Fifty Transition. In a manner similar to Settling Down, this time allows the middle adult to vigorously implement their revised plan and complete Middle Adulthood.

9. *Late Adult Transition* (Approximately ages 60-65). In this stage, a person struggles with choices about the third era of adult life—Late Adulthood. Normally associated with the end of one's professional life, a person will now reassess the roles that various things have played in his or her life as he or she develops an initial plan for Late Adulthood.

Generational Differences

Figure 7. Generational Differences



GENERATIONS

Prepared by: James V. Gambone, Ph.D.
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“Demographics is Destiny.”
- Richard Easterland

Introduction

When meteorologists report on very large storms, like hurricanes, they often talk about the “feeding bands” and “steering currents” of the storm. The feeding bands measure the powerful wind velocity and can often predict how much damage the storm will cause when it touches land. The steering currents swirl in the opposite direction of the feeding bands. These are the winds that ultimately guide the storm to its final destination.

A generational/intergenerational perspective of American history reflects this concept of the “feeding bands” (major events, etc.) and the “steering currents” (groups of age cohorts colliding across time) interacting to provide an approach for understanding history—not simply based on individual achievements and memorizing major dates and events.

It is only in the calm eye of the hurricane that one can appreciate the delicate relationship between these two very powerful currents that create the winds of change.

The Five Living Generations

“Experts differ on what constitutes a generation. In the course of conducting dialogues with all five living generations for the past eight years, the birth years used in this piece have been found to be very effective in bringing the generations together for dialogue and common action.”

CIVIC OR GI GENERATION (Born 1901-1931)

The first Civic babies were born in 1901 and the last will turn 72 in the year 2000. This generation came out of an agricultural economy and accepted many American myths. They lived as young adults through the Depression. They were heroes in their hour of crisis, World War Two.

After the war they worked to gain economic rights and they were very impressed with the technology they developed.

Their lives coincide with an “American Century” of general economic growth technological progress beyond anyone’s expectations and military dominance. Tom Brokaw calls them the “Greatest Generation”—a generation that brought optimism, teamwork, a black and white sense of right and wrong, and civic pride to every problem they encountered.

Let’s imagine you are a 10-15-year-old member of this generation growing up in America. At this age you are in the process of forming some significant and lasting values. You are subtly shaping how you will live and act in later years. Here is a short list of what you could have encountered coming into adolescence between 1911 and 1916:

- The Mexican Revolution begins
- A flight of 300 miles is completed in a record 8.25 hours
- Arizona and New Mexico become states
- 10.5 million immigrants come to the U.S from southern and eastern Europe raising cries of stopping immigration
- Woodrow Wilson becomes president
- Business regulation begins for the first time
- The Triangle shirtwaist company fire kills 145 women garment workers in New York
- Labor organizing begins in earnest in textile and steel mills, strikers are killed
- The Titanic sinks
- World War One begins
- Isolationists say we should not get involved in the Balkans or in Europe
- “Keep the Home Fires Burning” and “Pack up your Troubles in Your Old Kit Bag” are popular war tunes
- Racial hate crimes and hangings reach an all time high
- Rocket experiments begin
- Scott heroically reaches the South Pole
- The first electrically powered refrigerator is nationally marketed
- Einstein announces the theory of relativity
- The zipper is invented revolutionizing the clothing industry
- Protons and electrons are discovered, so is cellophane and cosmic radiation
- The first successful heart surgery is performed on a dog
- The first transcontinental phone call is made
- 5,000,000 people a day visit movie theaters

- Haley's comet is observed for the first time
- Jack London and Tarzan books are popular among teens
- Pope Pius the X, the working man's Pope, dies
- Grand Central Terminal opens in New York
- The Panama Canal opens
- Ford develops a farm tractor and his millionth car is sold
- The first self starter replaces the crank in automobiles
- Vitamins are discovered
- Senators are elected directly
- This generation built the TVA dams, the Inter-State Highway system, grew the NAACP, organized the First Boy and Girl Scouts, played Jim and Betty Anderson of *Father Knows Best*, and started the AARP

Members of this generation include: George W. Bush Sr., Jimmy Carter, Bob Dole, Rosa Parks, Stan Musial, Ella Fitzgerald, Tony Bennett, Sandra Day O'Connor, Alan Greenspan, Jack Kennedy, Frank Sinatra, and Maggie Kuhn.

MEDIATING GENERATION (1932-1944)

The majority of men and women of this generation came of age too late for World War Two. A very small number served in Korea but were born too early to feel the pressures and burdens of the Vietnam War.

Strauss and Howe say these were the "unobtrusive children of depression and war, the conformist 'Lonely Crowd,' Grace Kelly and Elvis, Peace Corps volunteers, civil rights activists, divorced parents of multi-child households, sexual revolutionaries like Hugh Hefner and Gloria Steinem, MacNeil and Lehrer, and the less than colorful cabinet officers of the Bush Administration."

This generation created the corporate system, expanded American myths, made dress and appearance an important value, changed work from the personal to the organizational, and developed the concept of career and loyalty to your employer.

Unlike their Civic counterparts, they view issues as much more complex. They dominate the helping professions, and civil rights organizations. They are also some of America's finest arbitrators, mediators, and public interest lawyers.

Here is what a 10-15-year-old Mediator would have been influenced by between 1939 and 1944:

- The Great Depression begins
- New York World's Fair opens with a glimpse of the future
- The first national programs on radio are Roosevelt's Fireside Chats and Father Coughlan's anti-Jewish, pro-Hitler programs
- Germany invades Poland and starts World War Two
- Japan and U.S. end major trade agreements

- “Over the Rainbow,” “Beer Barrel Polka,” “You Are My Sunshine,” “Blueberry Hill,” “When You Wish Upon a Star,” “I’ll Be Seeing You,” and “Oh What a Beautiful Morning” are songs given major play on American radio
- Marie Curie splits the atom
- Race riots break out in several American cities
- FM radio is discovered
- The jitterbug becomes the national dance craze
- Life expectancy is 64 years—up from 49 in 1900
- 5 million aliens living in the U.S.
- U.S. enters the war against Germany and Japan
- World War Two and all the battles dominate the news
- The Great Depression ends; everyone has a job who wants one
- D-Day landings in Normandy
- Movietone Newsreels bring the war into towns across America
- For the first time, war correspondents report the war live on radio
- The first helicopter is invented
- Pan American schedules the first commercial flights between the U.S. and England
- Nylons first appear
- Cost of living in U.S. rises 30%
- Victory Gardens are tended by young and old
- First baseball game is televised in the U.S.
- The Supreme Court rules that sit down strikes are illegal
- Popular sound and color films for young people are: *Gone with the Wind*, *The Wizard of Oz*, *Stagecoach*, *Fantasia*, *Bambi*, *Holiday Inn*, *Going My Way*, *Serials*, *Cartoons*.

Members of this generation include: Jessie Jackson, Madeleine Albright, Bill Cosby, Sofia Loren, Oliver North, Gloria Steinem, Jane Fonda, Wilt Chamberlain, Michael Douglas, Tony Bennett, Diana Ross, and Shirley MacLaine.

BOOMER GENERATION (1945-1963)

Perhaps the most famous or infamous of all generations, the Boomers came to college in record numbers between the Kennedy and Ronald Reagan administrations. This was the first generation in American history raised in a culture of abundance and influenced by a plethora of media-dominated by television. These were the babies of optimism and hubris.

This generation sees weaknesses in American myths. They firmly believe in values and for the most part seem intensely self-immersed. Work is an important measure of who you are as a person. Their question of “Does my work have meaning?” is a very different question when compared with the Civics, who saw their jobs and personal life as separate.

Idealistic Boomers believe that process and participation can solve any problem and that service to social justice is a real measurement of citizenship. The sheer size and

economic power of this generation will ensure their historical center stage position for the next twenty-five years.

Here is what a 10-15-year-old Boomer encountered between their formative years of 1955 and 1960:

- Network television with Saturday children's programming
- The Cold War is always on the verge of becoming hot
- Cities with one million in population number seventy-one as opposed to sixteen in 1914
- Popular songs for the young are: "The Chipmunk Song," "Purple People Eaters," "Yellow Polka Dot Bikini," "Davy Crockett," and "Rock Around the Clock"
- Atomically generated power first used in U.S.
- U.S. Gross national product rises to 397.5 billion
- Air raid warnings and drills are mandatory in all schools—public and private
- Containment and mutual nuclear destruction are the foundations of American foreign policy
- Multi-national corporations spread around the world
- Flying saucer sightings are reported for the first time
- Sputnik 1 & 2 begins the race for outer space
- Polio is a national epidemic; Salk develops the oral vaccine
- NASA is created
- Martin Luther King writes *Letters from a Birmingham Jail* in jail
- "The Pill" is mass marketed for the first time
- Nightly newscasts begin
- Televised racketeering hearings in the U.S. Senate introduce the Mafia, Jimmy Hoffa, and Bobby and Jack Kennedy to the general public
- Governor Faubus orders the National Guard to keep nine black students from entering the all white Central High School
- President Eisenhower sends paratroopers into Little Rock to forestall violence
- Elvis Presley appears on *Ed Sullivan*, Jack Kerouac's *On The Road* is published
- Phonetics are the key to learning how to read
- Application is made for the laser patent
- South Vietnam is created
- The Beatnik movement rejects social conventions, accepts unconventional clothing, earthy language, drugs, and alcohol
- The auto accident death rate surpasses all American deaths in wars to this point
- Fidel Castro takes over Cuba and comes to the UN, cooks chickens in his hotel room and tells the world he is a Communist
- Brown vs. The Board of Education is debated across the country
- 20 military satellites are in orbit by 1960
- John Kennedy is elected President

Members of this generation include: Hamilton Jordan and Jody Powell, Stevie Wonder, Oprah, Bill and Hillary Clinton, Tom Hanks, Michael Jackson, The Chicago 8, Bruce Springsteen, Bonnie Raitt, Gilda Radner, John Belushi, and Rush Limbaugh.

DIVERSITY GENERATION (1964-1981)

These were the first babies that came of age in a society with rapidly increasing divorce rates, experimental education practices, latchkey programs, an AIDS dating scene, birth control, kids with weapons, increasing numbers of young people committing suicide, more proficiency with technology than any other generation, and the most actual living experience with a multi-cultural, multi-racial society. They get along very well with the Civic generation but horribly with their Mediating and Boomer parents (who also happen to be their bosses in the workplace).

The most significant message this generation heard when it was coming of age was that they would become the first generation in American history not to do as well as their parents.

There is the story of an older adaptive generation manager talking to a 30-year-old employee. He said, "I just do not understand your generation, your work ethic, and your culture." The young worker said, "When you were growing up, you were told that if you worked very hard, you could have all of the things you never had. If I work very hard, it is possible I may never have all of the things I've always had!"

Here is what a Diversity generation child between the ages of 10 and 15 saw in their formative years between 1974 and 1979:

- Worldwide inflation causes dramatic increases in the cost of fuel, food and materials, heightens inflation; economic growth is at zero; Dow Jones falls to 663
- Experimental educational practices drops reading and math scores nationally
- Record forced busing
- First video games appear
- Divorce rates climb rapidly
- Poor children having children costs the country over one billion dollars
- Bicentennial celebration begins
- Two assassination attempts are made on President Ford
- The Women's Movement demands economic and political equality
- The Environmental Movement is international and spearheaded by young people
- Little League Baseball Inc. votes to allow girls on its teams
- Watergate and resignation of Richard Nixon
- Ford grants Nixon a pardon but no others
- *The Sting*, *Chinatown*, *The Godfather*, *Star Wars*, *Annie Hall*, *Saturday Night Fever*, *Grease*, *Close Encounters*, and *Superman* are popular films—the films *Apocalypse Now* and *The Deer Hunter* explore the Vietnam War
- Frank Robinson becomes the first black baseball manager
- AT&T bans discrimination against homosexuals
- North and South Vietnam are reunited as a communist country
- Ozone damage is discovered
- 155 women enter the Air Force Academy, ending male domination at military academies
- President Carter pardons almost all draft evaders

- Energy crisis hits
- The Internet begins
- China and the U.S. begin diplomatic relations
- People's Temple murder-suicide in Guyana
- Disco
- Hostages taken in Iran
- First test tube baby born

Members of this generation include: Christian Slater, Jewel, Ricki Lake, Queen Latifah, Tiger Woods, Sheryl Crow, Tara Lipinski, Kurt Cobain, Brooke Shields, Rob Lowe, Mike Tyson, many Silicon Valley CEO's, and almost all of the U.S. House and Senate staff members.

MILLENNIAL GENERATION (1982-2003)

This is the generation that is coming of age in a world of test tube babies, cloning, economic boom and speculative times, large scale political scandals, the most sophisticated media ever created, Internet connections with young people all over the world talking about how to protect the environment, fight child labor, and plant flowers and trees in blighted urban neighborhoods. Polls suggest this generation is not particularly interested in political parties but very interested in working together with other generations on local issues. Many have labeled this generation as smarter, better behaved, and more civic-spirited than any of the living generations.

They are the generation that is the beneficiary of Children First Campaigns and hundreds of books about their assets and how we can develop them. Many older people feel like we lost the previous Diversity Generation to drugs, bad educational and parental practices, and to a society that acted like it didn't care about their welfare. The Millennials are the beneficiaries of post-modern generational guilt. They are the generation that might provide the most significant leaders.

Think back to 1992 and see what a developing Millennial has, and continues to culturally absorb:

- Schools returned to teaching the basics
- Quality children's television is fought for
- The Oklahoma City bombing and the killing of innocents
- Gambling is an accepted moral value by many states—they advertise it
- Viruses relate to computers as well as human bodies
- Virtual reality is a common vocabulary word
- Kids learn to play the stock market in school
- CNN reports the Gulf War live every day and often from the war zone (CNN reaches 80 million American homes and 140 million homes overseas)
- Daycare is a way of life

- Home schooling is growing
- Test scores are rising
- School shootings and killings by peers are increasing
- E-mail is better than snail mail—connections are being made with other children around the world
- The diversity in schools—racially, culturally, and by nationality—increases every year
- More kids work at younger ages in spite of labor laws
- O.J. Simpson trial is a major live television event
- DNA and cloning raise all kinds of moral and ethical issues
- Michael Jordan and Tiger Woods are heroes
- The President gets impeached for lying and sexual misbehavior
- Millions of women and children are raped and slaughtered in Rwanda
- The personal computer is a home appliance
- Alaskan oil spill
- Shopping malls as social meccas
- Increasing reports of suicides and attempted suicides and depression
- The Unabomber, militias, and survivalists
- The new millennium and conflicting forecasts of doom and jubilation
- A booming economy and little unemployment
- Designer drugs of all kinds including heavy uses of Ritalin in schools
- High definition TV and direct satellite TV make the world smaller
- Kids organize against NIKE and child labor practices

Members of this generation include: Serena Williams, LeeAnn Rimes, Britney Spears, Prince William & Prince Harry, and Taylor & Zac Hanson (of the Hanson's), and a number of internet entrepreneurs.

“More people in every generation are living longer than at any other time in our history as a species on this planet. We are an aging society.”

—Dr. James V. Gambone

HOW THE GENERATIONAL PERSPECTIVE ON HISTORY WORKS

Most developmental psychologists tell us that our basic human values are formed around the age of adolescence (between the ages of 8-13). This is when we learn to distinguish between right and wrong.

Morris Massey developed a lucrative consulting practice in the late 70s and 80s talking to corporate executives about “You Are Now What You Were Then.” His thesis was

that you cannot understand today's workers without understanding the social, political, economic, and cultural world in which they grew up.

Civics developed their approach to the world in the Depression and the Great War. The Mediating generation developed it as wartime children. The Boomers developed in an age of abundance and rapid cultural and sociological change. The Diversity generation came of age during Watergate, the AIDS epidemic, super inflation, and their parents' experiencing the employment contractions of the emerging global economy. And the Millennials are coming of age at the end of the Cold War, the explosion of the Internet and communications in general; within a new concern for the welfare of children and a growing, if not speculative, economy.

Strauss and Howe, social critics and generational historians, ask us to picture one long lifecycle railroad track—with birth, the place of origin; and death, the destination. Along the way are "Phase of Life Stations," from childhood to elderhood. Now picture a series of generational trains, all heading down the track at the same speed. While the GI train is moving from one station to the next, other trains are also rolling down the same track. If we picture ourselves sitting at any given train station watching one train go and the other arrive, we have a sense of how to view each of the living generations—and a sense of their interaction.

We can ask...

- Do generations make history or does history shape and form generations?
- How do generations take control of historical forces?
- How do they react to crisis and major changes?
- How do they interact and accommodate both older and younger generations?
- If we already have at least half of the generations present that will live during the next hundred years, can we predict at least part of the future with what we already know about present generations?

Can we predict the large turns of the future based on what we know about these living generations in the present?

UNDERSTANDING GENERATIONAL DIFFERENCES HELPS YOU MANAGE A MULTI-AGE WORKFORCE

By Constance Alexander

From *The Digital Edge*, http://www.digitaledge.org/monthly/2001_07/gengap.html.

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As layoffs, mergers and dot-com demises spark organizational restructuring in the news business, managers need to work effectively with all age groups. That is why Robert Wendover, managing director of the Center for Generational Studies, Denver, Co., makes Baby Boomers in the audience take an oath before he begins presentations these days.

“Raise your right hand,” he says, “and repeat after me: I will never start a sentence in the workplace with ‘I remember.’”

According to Wendover, traveling down memory lane with co-workers is a long and winding road that leads nowhere, especially when one generation deems the values and behaviors of another as character flaws instead of cultural differences.

Being aware of those differences is the first step in managing a multi-age workforce. The way Wendover puts it: “You have to look at yourself before you can figure out how other generations tick.”

Wendover divides the generations into four groups, each shaped by different values and cultural icons that define their age group. There are no rights and wrongs, just generational differences based on shared experiences.

Each generation possesses unique characteristics. Find out more about Matures, Baby Boomers, Generation X'ers and Millenials.

Experience Affects Actions

Take a veteran reporter with years of newsroom experience who grew up in the era of Hula Hoops and fallout shelters, as opposed to an online content producer who came of age in the epoch of Pokemon and cell phones. The Baby Boomer, with a network of sources, is likely to get on the phone when a question comes up. Employees in their twenties, on the other hand, resort to electronic methods, perhaps contacting peers via instant messaging to find answers.

When restructuring puts these two in the same organization, sparks can fly if one generation glares at the other when things are not done “their way.” To thrive in a world where a “fifty something” is managing a “twenty something,” or vice versa, managers are advised by Wendover to focus on outcomes.

“Younger generations have less patience and tolerance for what they may see as meaningless tasks,” explains Wendover, who has written a number of books about intergenerational workplace issues. “They want to be able to ‘take the ball and run with it,’ as opposed to performing the 10-step process designed years ago.”

Managers should provide clear definitions of desired outcomes for Millennial workers, those born between 1981 and 1994. "Give them the resources necessary and a deadline," Wendover says. "Most enjoy the liberty of working on their own in a style that favors their work ethic."

For older generations, particularly "Matures" who were born before 1946, a lifetime with the same employer breeds loyalty. Boomers, who went to college in record numbers as compared to their elders, have left their unique imprint on the workplace. Efficiency, teamwork, quality and service have thrived under their leadership. With their vast optimism and love of convenience, they have racked up debt in major proportions, and financial security will remain a central issue for many, forcing thousands to work well past the age at which their parents retired.

Newspaper managers discuss their ideas about dealing with multi-generational staffs.

Best-selling author Stephen King sums up his generation's weakness in one terse statement: "I don't want to speak disparagingly of my generation. Actually I do; we had a chance to change the world and opted for the Home Shopping Network instead."

X'ers, the first generation of latchkey kids, learned to be resourceful at an early age. They observed the layoffs, consolidations, acquisitions, mergers, and economic uncertainty that affected their parents during the 1980s. Many suffered through the pain of their parents' decision to divorce, which occurred at an unprecedented rate.

Wendover reminds managers that X'ers at work are skeptical of traditional practices and beliefs. They view employment as a contract that either side can cancel at will, and are more skeptical of employers' assurances about future plans.

"Employers who breach this contract by failing to follow through with commitments made, such as training classes, stock options, promotions and resources, are much more likely to lose good workers to the competition," according to the Center for Generational Studies.

Workforce of the Future

Stick and stones might break the bones of Millennials, but the names they are called don't bother them. This group is known by several monikers, including Generation Y, Generation Why?, Nexters and the Internet Generation. The youngest group in the workforce, they were born into a world dominated by technology. The only war they know, Desert Storm, was fought on prime time TV.

Millennials are the most demographically diverse generation in the country's history. Though many enter jobs with what employers call a disturbing lack of basic skills, they are able to navigate software programs that intimidate older workers. Beyond that, they bring new approaches along with them, new ideas that older generations never dreamed possible.

In advising organizations such as AT&T, IBM and State Farm Insurance about generational differences, Wendover is quick to agree that the traits arbitrarily assigned to a generation are only one tool for managers in a complex, rapidly changing marketplace. "It's really important to get to know everyone as an individual," he suggests.

Managers are also challenged to examine policies and practices in every phase of the business within the context of generational differences. Human resources policies,

communication guidelines, recruiting techniques, benefits plans—all need to be assessed in terms of the workforce and the values they embrace.

Each Generation Has Its Themes			
Matures	Baby Boomers	Generation X	Millennials
Hard Work	Personal Fulfillment	Uncertainty	“What’s Next?”
Duty	Optimism	Personal Focus	On My Terms
Sacrifice	Crusading Causes	Live for Today	Just Show Up
Thriftiness	Buy Now/Pay Later	Save, Save, Save	Earn to Spend
Work Fast	Work Efficiently	Eliminate the Task	Do Exactly What’s Asked

Source: Center for Generational Studies

Wendover encourages clients to ask for employees’ ideas and input, but warns them to be prepared for frank answers. “Younger workers have challenging attitudes, but they have good questions,” he says. Also, they are less likely to ask permission before proceeding, and they will speak up when they do not see the value of an organizational rule or practice.

“Why does it have to be done between 9 and 5?” a Millennial might ask.

Before giving a final answer, the wise manager needs to reflect. As long as the work gets done, the time may not really matter.

In a global economy, the workforce continues to change, challenging generational stereotypes. The immigrant population in the U.S. is increasing, and the trend is apt to continue, Wendover claims. And diverse populations do not fall into the same categories as their American counterparts of the same age. “They are more focused on survival,” he comments.

With an increasingly diverse workforce, managers of every age are encouraged to emphasize the values of the organization before their personal values. Says Wendover: “The ability to be effective in this complex world is contingent on the ability to be a teacher and a learner at the same time.”

MANAGEMENT & STRATEGY: LEADING THE GENERATIONS

By Mike Mazarr

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Leadership is a demanding and challenging discipline, especially in the participatory, collaborative new workplace. And it gets more complicated when generational differences in leadership and management styles come into play.

These differences can be pronounced. Treating all managers—pre-Boomers, Baby Boomers, Gen X'ers, or (in a few emerging cases) Gen Y'ers—the same can be a mistake. One of the truisms of good management is to treat each person as an individual; the same may be true of generations. And while the point itself is not a new one, with the first Gen Y students now in MBA programs, many firms, fresh off absorbing the management styles of Gen X'ers, will need to re-learn these lessons.

Frustratingly, there is no clear agreement about the exact borderlines of generations. Some observers have Gen Y running from 1977 to 1995, others from 1977 to 1984, others from 1981 to 2000. And of course, just because someone was born in 1977 instead of 1976 doesn't mean that they will be more in tune with someone of "their generation" born 18 years later than with their friend down the street born the year before.

The official U.S. Census Bureau estimates rely on a period of 1945/6-1965/6 for the Boomers, giving a total of about 76 million Baby Boomers in 1990. The most common Gen X distribution has it composed of people born between 1965 and 1977, with Gen Y spanning the years 1977 to 1995. So in 2002, Gen Y'ers are kids and young adults aged 7 through 25—the oldest of whom are just now becoming managers for the first time.

It is by now well accepted that generations tend to reflect certain value sets even among their myriad individual differences. A few years ago, leadership and organization expert Jay Conger wrote about Gen X management values in *Strategy & Business* ("How 'Gen X' Managers Manage," 1998; see <http://www.strategv-business.com/press/article/?art=14739&pg=0>). The truisms about Gen X'ers—that they were nihilists and slackers whose worldview could be summed up in the phrase "whatever"—didn't capture the full picture, Conger argued after many interviews with emerging Gen X leaders. Perhaps the chief characteristic of the X'ers, he argued, was their distrust of authority. Reflecting broad social trends in regard to formal authority, Gen X'ers are more skeptical of, less loyal to, and more likely to challenge supervisors.

Gen X'ers are autonomous and independent, more likely to move from firm to firm, and embody more of the "free agent" mentality than Boomers did, Conger pointed out. Their tendencies toward independent and self-reliance have been magnified, he explained, by the fact that they are "the first generation in America to be raised on a steady diet of workplace participation and teamwork."

X'ers want challenging work, and to be respected by supervisors. They want all the information the firm is willing to share. They want a sense of workplace community.

All of that is well-appreciated now among those who watch management trends. (For other sources of information on Gen X and management, see <http://www.cnn.com/TECH/computing/9904/20/genx.idg/index.html> and the "Gen X At Work" box in <http://www.cnn.com/2000/CAREER/trends/06/20/generation.tulgan/>.) Now new questions are being raised about the likely management styles of the largest generation in American history: Generation Y.

Marketers have thought about Gen Y in detail for years. With over 70 million people, it's roughly the same size as the Baby Boom—which, in its time, transformed American society. (Both are more than double the size of Gen X, at least according to the most common ways of calculating the three.) Gen Y is already over 20 percent of the American population; at its peak, it will represent over a third. (See <http://pubweb.nwu.edu/~evc345/final.html> and <http://www.businessweek.com/1999/9907/b3616001.htm>).

A few far-sighted people have begun looking beyond Gen Y as a bunch of adolescent consumers, and begun to see it as a leadership cohort. Once again, broad generational differences come into play.

While the view of Gen X as slacker-nihilists can be overstated, one difference that seems to be emerging is that Gen Y'ers tend to be more passionate, more optimistic and confident, and have a more energetic attitude toward work and life than X'ers. In polls, something like 80 percent of them say they expect to be better off than their parents. They are socially conscious and push for positive change.

At the same time, Gen Y has more traditional values than the X'ers. They have seen the excesses of the career-and-divorce Boomer culture (many in their own parents), and are determined to avoid it. Teen drinking, sex, and pregnancy are all down among Y'ers compared to X'ers. When asked, Gen Y kids state a more positive commitment to family and moral values than their generational predecessors.

In some ways, though, Gen Y follows very much in the footsteps of Gen X. They want to be engaged, challenged, and empowered at work. They'll respect authority perhaps somewhat more if it behaves with integrity, but still believe they ought to be given wide latitude to decide how to do their jobs.

All of this points to a need to understand Gen Y managers in more detail. The renowned Center for Creative Leadership (www.ccl.org) has undertaken a major research project, led by CCL researcher Jennifer Deal, to understand generational shifts underway in the management profession. TrendScope spoke with Deal to discuss the project, which is aiming to produce research results by October of this year.

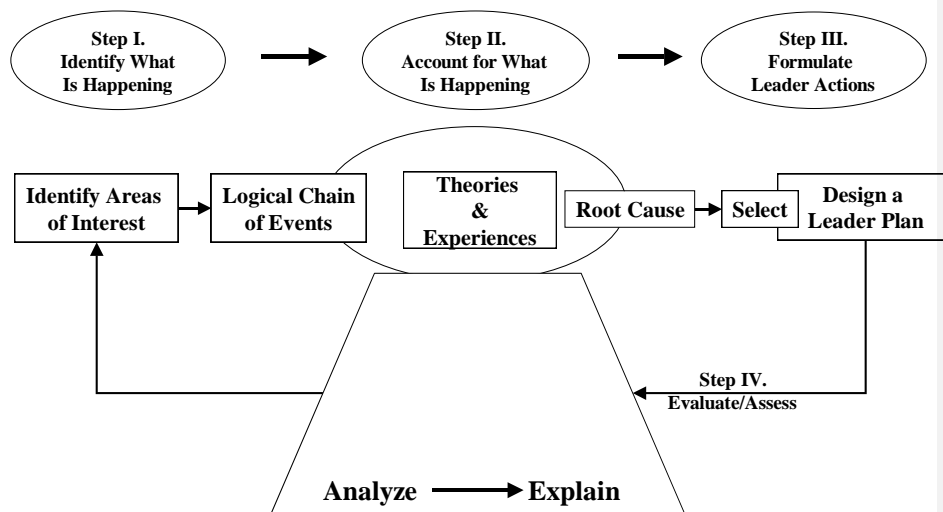
"Our project is focusing on four questions," Deal said. "The leadership development needs of new leaders, and how they differ from other age groups; learning styles and how they differ; challenges in defining their careers; and working across generations."

CCL undertook the project because, as Deal explained, they "heard things from clients and saw things in our own classrooms that led us to believe that something was going on. We kept reading about things in newspapers and magazines and kept noticing that nobody had any data. It becomes an interesting question—are people much more similar than everyone thinks they are?"

Almost two years into the research at this point, CCL will have conducted thousands of surveys by the time results are revealed in October. But individual organizations don't have to wait that long; they can conduct their own, internal surveys—discovering from their youngest managers what makes them tick, and changing the approach to them as required. Because just as every individual manager has their own strengths, weaknesses, styles and habits, so, too, do generations.

The Leader Thought Process

Figure 4. The Leader Thought Process



Step II. – Account for What Is Happening

Rather than rushing to action, reflective leaders improve the quality of their decisions and actions by analyzing and explaining what is happening. This step in the Leader Thought Process allows leaders to understand what is happening and why; it also clarifies the logical chain of events and may lead you to a root cause. The first step is to determine the logical chain of events, either by time or causal relationships. The second step is to analyze by searching the situation for information that can be understood using the leadership theories and concepts learned in this and previous lessons in order to understand the motivation, performance, and/or satisfaction of employees. The next step is to explain each Area of Interest. Without a sound answer to “Why?” and “How?” we will not be able to logically create the best plan for influencing our followers.

Analyze: What information in this situation can I account for by using leadership theories and concepts I have learned in this and earlier lessons? Which theory(ies) fit this

situation best? What are the relevant variables, and how can I organize and understand what I am observing using these variables?

To determine if a particular theory can help you in a given situation, begin by searching for familiar patterns and relationships. All of the theories presented in this course have component parts and insights on human behavior. Do you find information in the situation that seems to fit one or more of the leadership theories you have learned so far in the course? If so, these theories may help you to identify, organize, and eventually resolve the situation through leadership actions.

For example, you are now familiar with Adult Development Theory. If you are given a hypothetical leadership situation or faced with a real one, you might look for evidence of the person's stage of adult development to see if this first theory has any effect upon the situation. For example, to analyze a situation through Adult Development Theory, a leader might ask the following:

1. In what stage of Adult Development is this employee?
2. What major life issues are involved with this stage of development?

When these questions are answered clearly, then you have analyzed the situation through Adult Development Theory. A similar process can be followed for each of the theories that will be presented in the course. Of course, not every theory will apply to every situation, and many situations can be analyzed using more than one theory. By using the analyze and explain steps, leaders can create more specific, long-lasting, and effective leader actions.

Explain: After we have analyzed a situation we must then use the analysis to “why” and “how” questions about our observations and show the relationship between the Areas of Interest and motivation, performance, development, and satisfaction. This is not the same as just restating the Analyze step. You do not explain the theory either. Instead, you use the theories and concepts to reason your way to a logical set of conclusions that are, in effect, a set of cause and effect statements. Here is where you make use of the logical chain of events and look for the root cause. A good analysis and explanation will lead you clearly to the next steps that involve taking actions as a leader to address the Areas of Interest. Without a theoretically sound analysis and explanation, you may be just guessing at what has happened and what might work. So one of the most important things for you to master in this course is how to use the Leader Thought Process. You will develop your ability to do that step by step in the early lessons.

Case Study

You are a forty-one year old patrol supervisor in Southeast Division (Frank Sector). Lately, you have been concerned with one of the probationers on your watch, twenty-year old Officer Jake Lewis. Although Officer Lewis is almost through his probationary training period, he still seems to be having trouble adjusting to his new surroundings. Home is 500 miles away, and it looks nothing like the city we police. Before getting hired by the department, Lewis had been a correctional officer in a rural county jail where his father is the warden.

Lewis often talks about how he misses the family ranch. He wonders out loud if he made the right decision by leaving his parents to run the place by themselves. You can tell that part of Jake Lewis is a cop in our city, while a big part is still a kid in the country. Lewis addresses everyone politely as “sir” or “ma’am,” and is willing to take on any task the sergeants or training officers ask. However, he is a little slow to react to tactical situations, and he seldom, if ever, makes any independent observations. With his probation nearly over, you really wonder how Jake will do when he is charged with making decisions on his own. On occasion he has done some things that are way different from department policies and procedures, and you have wondered where he came up with such ideas. He has expressed concern about whether he will ever be able to do things his way and wonders if the department is ever going to give patrol officers lightweight laptop computers with wireless modem connections.

To make matters worse, you have heard that Officer Lewis has begun to hang out with the guys after end-of-watch. You hoped he had better sense than to get too involved with the regulars (the cops with extensive complaint histories who spend all their free time drinking). After all, Jake seems to be ripe for external influence.

Use the first two steps in the Leader Thought Process.

I. (Step I) **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) **Analyze** the situation using Adult Development Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

In what stage of Adult Development is this employee?

What major life issues are involved with this stage of development?

Analyze the situation using Generational Differences.

Of what generations are you and Lewis members?

What are the differences between your generation and Lewis' generation in terms of work-related expectations, preferences, and behaviors?

III. (Step II)

A. **Explain** an Area of Interest in terms of how the stage of development and/or generational membership affect a person's motivation, performance, and satisfaction.

How has his stage of Adult Development and/or his generational membership affected Officer Jake Lewis' motivation?

His satisfaction? _____

His performance? _____

B. **Explain** an **Area of Interest** using the concept of the Individual as a Psychological System.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

LESSON 4: ATTRIBUTION THEORY

Introduction

This lesson consists of:

1. Attribution Theory
2. Case Study
3. Student Journal

Assignment

1. **Read Course Guide**, pages [3335](#)–[4143](#).
2. When you solve a case study or act like a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Attribution Theory.
 - A. **Identify** the attributional biases evident in the situation, if any.
 - B. **Identify** the rational factors evident in the situation, if any.
 - III. **Explain** an **Area of Interest** in terms of how attributions, attributional biases, and rational factors are influencing the behavior of the leader and responses of others to the leader.
3. **Complete a Student Journal entry** for Attribution Theory.

From your own personal experience, describe a time when you have seen the Actor-Observer Bias influence a leader's decision. What happened? Who was involved? Identify the Actor and the Observer. How did each account for what happened? How does each party's attributions illustrate a form of attribution error or bias? How did bias affect what the leader did and how the other person responded?

Attribution Theory

Attribution is the psychological, often subconscious process of making inferences and judgments about the causes of people's behavior. This natural tendency is a convenient way to categorize and organize the behavior we see in others and ourselves. However, the attribution process is subject to numerous errors and inaccuracies. Similar to the attention, perception, and cognition differences we learned in Lesson 3, attributions vary greatly from person to person. Different leaders, followers, and observers can evaluate identical circumstances; yet all can arrive at vastly different judgments. It is paramount that leaders recognize that their attributions are not identical to objective fact.

One way to look at attribution is to equate it to blame or credit. When something goes wrong, most people develop an opinion as to who or what is responsible, thereby assigning blame. When something succeeds, we similarly decide whether the person deserves credit for the victory. Attributions can be *internal*, meaning that we blame or credit a particular person. *External* attributions mean that we blame or credit other factors such as bad weather, bad luck, insufficient resources, lack of time, etc. A manufacturer who fails to deliver a product on time may attribute this to external factors such as raw material shortfalls or equipment breakdowns. The customer, however, may make the internal attribution that the manufacturer is simply incompetent and failed to plan correctly.

Rational Factors

When making attributions, people incorporate two elements—rational factors and biases. Rational factors are more reliable, but still not entirely accurate, elements in the attribution process. Psychologists have identified three rational factors; these are *distinctiveness*, *consistency*, and *consensus*.

Distinctiveness is whether the person has done well or poorly on different tasks. Consider an employee who fails to complete a project on time. If the employee has failed at other jobs, the attribution is likely to be internal. Conversely, if the person has excelled at other tasks, external factors will probably be blamed.

Consistency describes the person's performance of this same task on other occasions. If the person routinely performs this job poorly, an internal attribution will probably occur. If the person normally does this job well but experiences problems one particular time, the leader would likely blame outside circumstances, making an external attribution.

Consensus is an evaluation of how other people perform this task. If other people normally succeed at this job but this employee is having difficulty, do you think the leader's attribution will be internal or external?

Certainly, there is room for error in applying the rational factors. Leaders are limited by how much they know about the person's distinctiveness, consistency, and consensus.

Bias

The other element in Attribution Theory, biases, causes even more mistakes in judging human behavior. Four of these can play a direct role in the interactions between leader and follower:

1. *Actor/Observer Bias* is the common tendency for the person involved in a problem (the actor, usually the employee) to blame external factors beyond his control, while at the same time the person observing the event (often the boss) puts blame on the actor.
2. *Self-Serving Bias* is related to the Actor/Observer bias, but it goes a step further. The Self-Serving Bias is the tendency for actors to attribute all successes to themselves and their talent, hard work, etc., while still attributing failures to external forces.
3. *Negative Outcome Bias* is when a leader is much more likely to punish a follower if a negative consequence occurs, than if the same act were performed without the negative ramifications. For example, a police officer that is cleaning his gun and accidentally fires a round into his television set at home will likely receive a fairly minor penalty. But if another officer has a well-publicized accident that strikes and kills an innocent bystander, the punishment is likely to be far greater.
4. *Apology Effect* occurs when the leader is less likely to punish the follower who says he or she is sorry, regardless of the sincerity of that apology. Followers who appeal to the sympathies of the leader are far less likely to sustain serious sanction, compared to other followers who perform similar misdeeds but fail to apologize.

In rare situations where strict policy governs leader actions, there is little room for attribution to influence the leader's decisions. One such example is the US Army's Overweight Program. If a soldier exceeds established height/weight standards, the leader must automatically enroll the soldier in a standardized regimen that includes weekly weight checks, a bar to reenlistment, and other elements. Can you think of similar examples, where leader discretion is minimal or absent in your job?

Whenever a leader uses judgment and takes action, there is a chain reaction effect upon the employees, the group, and ultimately the organization. Since the first steps of the Leader Thought Process are to Identify, Analyze, and Explain what is happening, consider how a leader's personal attributions could influence the entire problem-solving process. Individual leader's first impressions make important contributions to effective leader actions, but care should be taken to incorporate as much objective fact and as little bias as possible.

Again, it is vital for the leader to realize that there is usually more to the story than his or her attribution. By alerting leaders to some of the rational factors and biases that influence decisions, this course aims to make you more aware of your own attribution errors and more willing to listen to and appreciate the viewpoints of others.

Case Study

You are a sergeant on the day watch in Charlie Sector. It is a rainy, cold March day. All day, Communications has broadcast several calls for “any Charlie unit” to handle traffic collisions. Officer Steve Gerras buys more than his share of the traffics that are bound to happen in weather like this.

You hear Officer Gerras dispatched to investigate a three-car collision with injuries. Suddenly, you hear Officer Gerras requesting a supervisor. He has been involved in a separate collision on the way to the assigned call. As you rush to the scene, the dispatcher sends another unit to the original traffic collision. Upon your arrival at Officer Gerras’ location, you see that there are no injuries, but both the police car and the civilian’s vehicle are badly damaged. You figure his unit, one of your newest, is headed to the salvage yard for good.

Right away, the driver of the civilian vehicle, an Asian female, runs up and blurts out, “That cop was going too fast. He was racing around like all you cops do. He ran the stop sign, and didn’t even have his red lights or siren on.”

Officer Gerras, looking fatigued, jumps in. “Ma’am, I tried to stop, but the road was too slippery. Besides, if you had been paying attention to your driving, you would have seen the police car coming and gotten out of the way like you are supposed to.” At this point you separate them and take each of their stories.

Before you leave, Officer Gerras approaches you. “Sarge,” he says dejectedly, “I’ve been a hard-working cop for 15 years; I’ve never had a crash. I’m really sorry this happened. Can’t you give me a break, just this once, and show me as ‘Party 2’ (the party not at fault) on the report? I know the commander wants to kill any officer who is to blame for a collision, and I don’t want to be the first casualty. I should know better than to bust my butt to get to calls—I’m gonna learn to ignore the radio from now on.”

As you watched Gerras mope, you knew he was right about one thing; this accident was not going to go over well with the boss. Last week, the lieutenant came to roll call and loudly announced he would not tolerate overdriving. He added that anyone who “wrecked” a police car would have to answer to him personally.

As you pull into East Substation parking lot, an officer notifies you that the Lieutenant wants to see you now. As you head for the lieutenant’s office, the officer adds, “Watch out, the lieutenant is hot! He was yelling something about this being the third accident in the last twenty-four hours.” As expected, the lieutenant was in no mood to discuss details. He tells you to conduct a speedy investigation and determine whose head will roll on this one.

Use the first two steps in the Leader Thought Process.

I. (Step I) **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) **Analyze** the situation using Attribution Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

What usage of rational factors is evident in the situation? Who is using them? How?

What attribution errors or biases are evident in the situation? Who is using them? How?

Who else is making attributions? Do the attributions contain rational factors, biases, or both?

III. (Step II) **Explain** an **Area of Interest** in terms of how attributions, attributional biases, and rational factors are influencing the behavior of the leader and responses of others to the leader.

How have the Lieutenant's attributions affected the motivation, satisfaction, and perhaps the future performance of Officer Gerras?

How has the motivation, satisfaction, and/or performance of other individuals been affected? By whom and how? What attribution factors are involved?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

Name: _____

Complete a Student Journal entry for Attribution Theory.

From your own personal experience, describe a time when you have seen the Actor-Observer Bias influence a leader's decision in a police department. What happened? Who was involved? Identify the Actor and the Observer. How did each account for what happened? How does each party's attributions illustrate a form of attribution error or bias? How did bias affect what the leader did and how the other person responded?

LESSON 5: THE EXPECTANCY THEORY OF MOTIVATION, GOAL SETTING THEORY

Introduction

This lesson consists of:

1. Expectancy Theory
2. Goal Setting Theory
3. The Leader Thought Process: Formulate Leader Actions/Apply Leader Strategies
4. Case Study
5. Student Journal Entry

Assignment

1. Read **Course Guide**, pages [Error! Bookmark not defined.89-83440](#).
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Expectancy Theory.
 - A. **Identify** the individual behavior(s), performance outcome(s), and reward outcome(s).
 - B. **Classify** the components of Expectancy Theory that are high, low, or missing: expectancy, instrumentality, and valence.

Alternately,

- II. **Analyze** the situation using Goal Setting Theory.
 - A. **Identify** the current explicit individual goal(s).
 - B. **Classify** the current conditions for successful goal setting.
 1. Specific and measurable?
 2. Difficult and challenging?
 3. Participative process followed by goal acceptance and commitment by employee(s)?
 4. Employee(s) receives objective and timely feedback on goal attainment?
 - C. **Identify** the missing goal setting conditions.

- III. **Explain** how the low component(s) of Expectancy Theory contributes to a drop in motivation and an Area of Interest(s).

Alternatively,

- III. **Explain** how the lack of effective goal-setting techniques has decreased individual motivation, satisfaction, and performance.
- IV. **Select** a theoretically correct leader strategy(ies) to increase motivation and address an Area of Interest(s).
- V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.

3. Complete a Student Journal entry for Expectancy Theory.

Think of any person you have known who appears to have a lack of motivation to perform an assigned task in a police work situation. Describe the behavior that leads you to this assessment. Does the person know how to do the assigned task? Does he or she perceive that valued rewards are available? What is the person's role in choosing the assignment and deciding how well it will be done? What could a leader have done to increase this person's motivation?

4. Complete a Student Journal entry for Goal Setting.

Think about your own motivation to do well in your current and next assignment. What are your short-term and mid-term goals, and how do they contribute to your department's mission and goals? What are your long-term goals; what level of responsibility do you want to reach during your career in policing? Apply Goal-Setting Theory to increase your own motivation in the near-term (six to 12 months) and mid-term (two-five years). What specific goals can you set? How committed are you to these goals in terms of their importance to you and the likelihood that you could realistically achieve them if you put in the effort and have a little help, and maybe even a little luck? How can you measure your progress toward reaching your goals? How will you get the feedback you need to measure progress toward the goals? With whom might you discuss your goals? Whose help do you need to develop your self so that you can meet your own goals? What might keep you from discussing your goals with this person(s)?

Expectancy Theory

“But there is one element that must be kept in mind, and that is...that no amount of motivation will incite a man to undertake zealously that which he knows is manifestly beyond his capabilities.”

—General Bruce C. Clarke

Expectancy Theory offers us a three-part framework to understand human motivation. This theory helps us see how leaders can close the gap between individual needs and organizational goals. Expectancy theory claims that motivation is a function of three components:

- 1) *Expectancy* or the individual’s belief that his or her effort will lead to an acceptable level of performance. In other words, the person asks, **“If I try, can I perform to standard?”**
- 2) *Instrumentality* or the confidence that achieving the acceptable level of performance will result in a reward. The person asks, **“If I perform to standard, will I get a reward?”**
- 3) *Valence* or the perception that the resulting reward has value to the individual. The person asks, **“Do I really want the reward?”**

Expectancy Theory claims that all three of the above components need to be present, in sufficient quantity, to cause motivation. This means that the higher the expectancy, instrumentality, and valence, the stronger a person is motivated to perform any given behavior. Additionally, if any one of the three components is zero, motivation is also zero. For those mathematically inclined, the relationship between expectancy, instrumentality, valence, and motivation can be expressed as follows: $M = E \times I \times V$

People who won’t apply for advanced pay grades because they know they can’t make it, employees who no longer trust their boss to give them a good rating, and burned out individuals who no longer seem to care about anything, can all be favorably influenced by Expectancy Theory.

Expectancy Theory makes the assumption that human beings will choose to engage in behaviors that they believe will lead to the rewards they want. Conversely, if people do not believe they can accomplish tasks that lead to these rewards, those activities will be avoided (or only minimal effort will be expended).

Although this sounds simple enough, the ramifications for the leader are enormous. Suddenly, traditional wisdom such as, “Work hard and you will be rewarded” is called into question. Sometimes, effort alone is not enough. Employees need the skills, abilities, resources, and confidence that they can succeed. They also need to believe that a fair opportunity exists for them to reach their goals, and they must be offered goals that have value to them.

Consider, for example, the case of an eager new sergeant who is assigned his first personnel complaint to investigate. He has a model to follow, but the allegations on the model are vastly different than the ones on his assigned complaint. The instructions from his watch commander are to interview the witnesses, write up their statements, prepare a

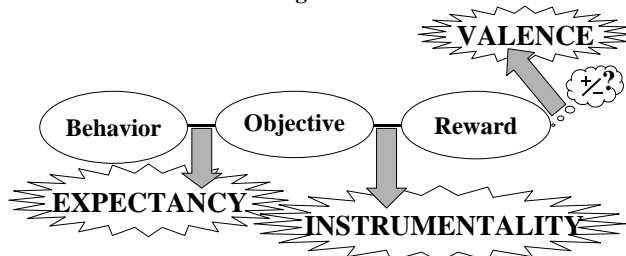
summary and investigator notes, follow the correct format, and submit it in six days. Does “Sgt. New” have high expectancy that he will do a job to standard? Does he think he will receive recognition and praise (instrumentality) from his lieutenant? Would he value (valence) that praise if he were to receive it? The answers to these questions will determine how much effort this sergeant will exert.

Expectancy Theory observes that human beings go through a mental, sometimes unconscious, assessment of whether or not their efforts can achieve the desired performance objective (expectancy), whether a reward will be available if they do (instrumentality), and whether that reward is important to them (valence). As mentioned earlier, if all three of these factors are high, the individuals will be motivated to give it their best effort. If any of the three components is absent or very low, the individual is more likely to decline the task or extend only a perfunctory, token effort. To see these relationships in greater detail, Expectancy Theory first defines individual behaviors, performance objectives, and reward.

Individual behaviors are the actual activities in which the person will engage. In the above example, the individual behaviors could be interviewing the witnesses, writing up the statements, or even the entire task of investigating a personnel complaint.

Performance objectives, often referred to as performance outcomes, equate to an acceptable level of accomplishment. The performance objective is determined by evaluating the quantity or quality of work done. It may be established by the boss, by existing organizational standards, or even determined by the individual. In the Sgt. New example, the overall performance objective is producing a well-written personnel complaint, but it could have subordinate performance objectives such as conducting effective interviews, following the format, etc.

Figure 9.



Reward, or *reward outcome*, is the recompense received for the effort extended. Rewards may be visible and extrinsic, such as pay, promotion, or commendation; or they may be intrinsic, such as personal satisfaction or esteem. In the example at hand, the likely rewards would be Sgt. New’s self-satisfaction and/or praise from the lieutenant.

Expectancy is the link between the individual behavior(s) and the performance objective. If Sgt. New tries his best, can he do effective interviews, follow the format, and submit a well-written complaint on time? If the answer to any of these questions is “No,” this sergeant will have low expectancy and consequently, low overall motivation to perform this task.

Instrumentality is the link between the performance objective and the reward. If the sergeant were to do a good job on the complaint, does he believe that he would feel good

about his work product or that the boss would praise him? If not, what happens to motivation?

High instrumentality cannot always be assumed. People realize that in the real world, not everyone gets the just rewards they deserve; they take this factor into account when deciding how much effort they will put forth. (Remember Altering Inputs from Equity Theory?) Instrumentality is influenced by a variety of factors, many of which are beyond the control of the employee or even the supervisor. A few examples of these influences are organizational policies, judicial decisions, and leaders' behavior.

Valence is the value or importance that the employee places on the reward; it can be the most motivating component of all. If an employee wants something badly, whether that reward is extrinsic or internal, the person will likely be motivated to overcome all obstacles. Frequently, leaders make the mistake of assuming that employees share the leader's sense of which rewards are valuable. Reflective leaders realize, however, that each person has his or her own assessment of the rewards that matter most. For a visual representation of how the various elements of Expectancy Theory interact, please refer to Figure 9.

Leader Actions

Understanding Expectancy Theory can greatly increase a leader's ability to motivate employees. Armed with this insight, leaders can diagnose motivation problems and take concerned, strategic action. The following list of guidelines, coupled with practical experience, can help leaders craft specific actions to increase workers' motivation.

1. To increase expectancy:
 - a. Clarify the path (between behavior and objective) by breaking the job into smaller parts or showing the employee the specific behavior(s) that will lead to the desired job standard.
 - b. Lower the performance standard if this is consistent with organizational goals.
 - c. Conduct training to provide the employee with requisite skills.
 - d. Build the employee's confidence by altering the perception of his/her capabilities.
 - e. Restructure the work environment by ensuring that adequate resources are available.
2. To increase instrumentality:
 - a. Clarify the requirements for receiving a reward by ensuring that the leader does, in fact, control the advertised rewards.
 - b. Distribute rewards equitably by administering them in a timely, fair manner.
3. To increase valence:

- a. Determine which rewards are valued by asking employees, in person or via surveys, to identify the rewards that matter most to them.
- b. Provide valued rewards by making desired rewards available.
- c. Explain the benefits of available rewards by clarifying the positive aspects the employee may overlook.

Goal Setting

Goal Setting Theory

A goal is simply a desired end state. Regardless of the nature of individual achievements, successful people tend to have one thing in common. Their lives are goal-oriented. The runner who trains for a long distance marathon, the student who creates an achievement-oriented, goal-filled schedule to complete her thesis project, the platoon leader who prepares a calendar in preparation of the next year's gunnery, all use goal setting as a method for achieving an end.

Goal setting is the process of developing, negotiating, and forming the targets or objectives that an employee is responsible for accomplishing (Schermerhorn, 1990). Goals provide leaders the necessary road markers to guide our assessment of our followers, as well as road-markers that may be used to guide our followers' behavior. Edwin Locke, a respected goal setting researcher, and his colleagues define a goal as "what an individual is trying to accomplish: it is the object or the aim of an action." In Lewis Carroll's classic, *Alice's Adventures in Wonderland*, the smiling Cheshire cat advised the bewildered Alice "If you don't know where you are going, any road will take you there." (Kreitner and Kinicki, 1989). Goal-oriented leaders find the right road toward achieving their goals because they know where they are going. In addition to knowing the right road to take, it is critical that the goal-oriented leader ensures that his or her followers are committed to the chosen goals as well.

The study of performance goals and goal-based reward plans has been active for years. At the turn of the twentieth century, Frederick Taylor established, within a scientific framework, how much work of a specified quality an individual should be assigned to complete each day. He then developed a proposal designed to give bonuses to individuals based on the previously determined output standards. Taylor's scientific method, in which jobs were broken down into the smallest possible component thus making individual jobs very specific and simple actions, was the forerunner of today's widely used management technique, **Management By Objectives (MBO)**. In the business world, employees are often provided pay incentives based on performance (e.g., merit pay).

The basic premise of goal setting is the act of setting the goal, which is often seen as the cause of high performance (Bowditch, 1985). Within Goal Setting Theory, one can assume that a person's conscious intentions (goals) are the primary determinants of task-related motivation, since goals direct our thought and actions. Some goals may not lead to high performance. Why? A particular goal may conflict with other goals a person may have or be perceived as inappropriate for a given situation. For leaders, the key is to ensure commitment to established goals.

How and why does goal setting work? Goal Setting Theory, according to Edwin Locke's model, has four specific motivation mechanisms, which are described below.

1. *Goals Direct Attention*

People have limited attentional resources. We can only attend to a limited amount of stimuli, and that affects how we allocate cognitive resources and behavioral effort. Goals help us direct our attentional efforts. Additionally, people are generally more focused and attentive to goals that have personal meaning for them. If you have a report due, your thoughts tend to revolve around that project and the efforts that you will take to complete it. In a similar context, if your watch has been alerted for a possible crown management situation, you and your patrol officers will spend more time as individuals and as a group preparing for that specific mission than for other tasks.

2. *Goals Regulate Effort*

Generally the level of effort that one expends on a project or task is proportionate to the difficulty of the goal. The department's deadline for a maintenance inspection prompts you to prepare for the inspection rather than focusing additional effort on the training records.

3. *Goals Increase Persistence*

Persistence represents the effort expended on a task over an extended period of time. It takes effort to run 100 meters; it takes persistence to run a 26-mile marathon. Persistent people tend to see obstacles as challenges to be overcome rather than reasons to fail (Kreitner & Kinicki, 1989).

4. *Goals Foster Strategies and Action Plans*

Goals assist people by encouraging them to develop strategies and action plans that enable them to achieve their goals. If you can run two miles at an eight-minute pace and you want to reach the goal of running four miles at a seven-minute pace, you must develop a strategy or a plan for training to achieve the necessary level of fitness. The goal of four seven-minute miles, given your current state at two eight-minute miles, propels you towards developing a strategy or plan to reach your desired state.

As a leader, how can you establish goals that encourage high levels of motivation and performance from your employees? What goals should you establish? Much research has supported the concept of goal setting as a motivational technique. Specific goals result in higher effort than do general goals or no goals at all (Bowditch, 1990). Listed below are four practical insights for leaders in terms of goal setting.

1. *Difficult* goals lead to higher performance. A difficult goal points to the amount of effort required to meet that specific goal. It is more difficult to make criminal arrests than it is to stop three speeding vehicles. However, studies by Locke and his associates led them to conclude that there is a positive correlation between performance and goal difficulty. The more difficult a particular goal, the higher the

level of performance. The positive correlation increases until goals are perceived to be impossible. It is at this level of diminishing returns where the performance decreases.

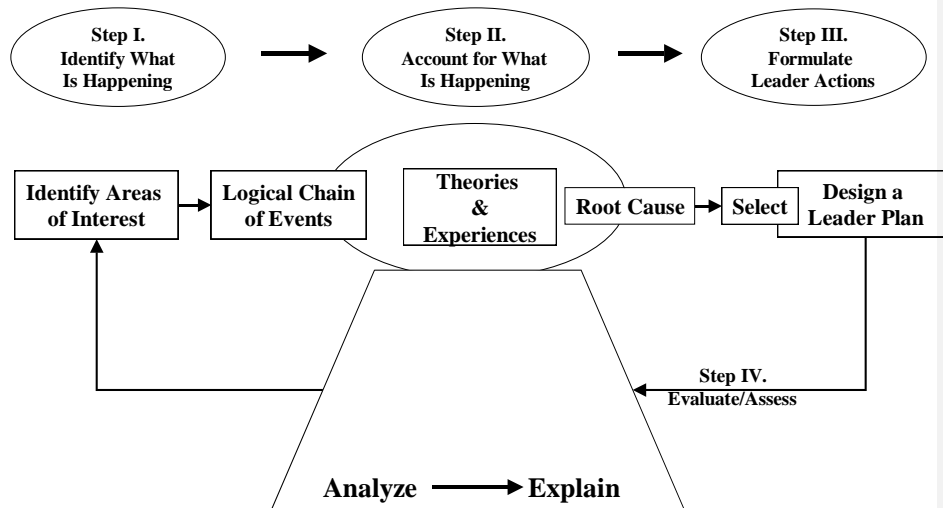
2. *Specific*, difficult goals lead to higher performance. Goal specificity pertains to the ability that we as leaders have to quantify a goal. For example, the goal of completing a four-mile run in 28 minutes receives different results than the goal of “running your best time” or “as far as you can.” Overall, goal specificity/difficulty was found to be strongly related to task performance (Kreitner and Kinicki, 1989). Specific goals lead to higher performance than just the comment “do your best.”
3. *Feedback* enhances the effect of specific, difficult goals. Feedback lets your employees know if they are moving toward goal accomplishment or if they are off course and need to redirect their efforts. When used in conjunction with the specific goals, feedback is very instrumental in improving performance.
4. *Participative* goals are superior to assigned goals. Based on studies conducted in goal setting, goals that are established in a participative style of decision making, rather than delegated or authoritatively assigned, are more effective and result in higher performance. Some researchers argue that the cognitive benefits of participation are far more powerful than the motivational effects; that telling people which goals to strive for, especially challenging ones, is in itself an indirect means of encouraging self-competence. However, many of these findings were conducted in laboratory or experimental settings and are negated by more contemporary findings, which argue that more participation in goal setting leads to higher performance. Clearly, what happens is that participation in goal setting enhances the probability of acceptance of difficult goals. The role of participation in setting one’s goals, especially within the context of such managerial practices as Management by Objectives and Total Quality Management, is critical in the motivational process.

Practical Application of Goal Setting

1. *Goal Setting*
 - a. Goals may be based on the average past performance of jobholders.
 - b. Goals should be specific, which often includes being quantitative and having a built in time limit or deadline.
 - c. Consider individual differences in the skills and abilities of your employees when establishing goals, since it is often necessary to establish different goals for people performing the same job.
2. *Goal Acceptance*—the extent to which an individual is committed personally to achieving an organizational goal.
 - a. Provide instructions and an explanation for implementing the goal-based program.
 - b. Be supportive and do not use goals to threaten your employees.
 - c. Encourage employees to participate in the goal-setting process.
 - d. Train leaders in how to conduct goal-setting sessions with followers.
 - e. Provide monetary incentive or other rewards for accomplishing goals.
3. *Support*—the ability to provide the necessary support elements or resources to employees in order to get the required task completed (e.g., training, resources, time, people, etc.).
4. *Feedback*—providing people information about their own progression toward the attainment of their goals.
 - a. Conduct frequent performance-based feedback sessions with all employees.
 - b. Allow employees to share their perceptions of the level of success—then ensure that it is accurate and based on objective measures.
 - c. Get and give feedback from a variety of sources.

The Leader Thought Process

Figure 4. The Leader Thought Process



Step III. – Apply Strategies: Design a Leader Plan

Leaders act in realistic, effective, holistic ways. In this step of the Leader’s Thought Process, you must develop and articulate a comprehensive leader plan of action. This step consists of the actions you would actually take if you were the leader in the given situation. What would you do and say to whom, when, where, and how?

Effective leader action plans incorporate all of the previous steps of the Leader Thought Process: Identifying Areas of Interest, Accounting for What Is Happening, as well as Selecting appropriate theoretical leader strategies. However, this step is a definite departure from the theoretical, launching directly into the real-world application of your knowledge and experience. The key to success is to translate the sum total of your knowledge from a variety of sources—including this course, your personal experience, the law, your department policies, influential role models, and any other relevant information—into theoretically sound, smart, thoughtful, and reflective leader actions. Your plan should be:

1. Realistic, in that it is possible within the policies and resources of today’s police environment. Action plans can, and often should, call for policy modifications or more resources, but a clear path to these changes must be described within the plan.
2. Holistic, in that it addresses all of the Areas of Interest the leader has identified, as well as all significant organizational leadership concerns. Also, the plan must not cause new problems to arise.
3. Derived from the behavioral science and leadership theories, in that it translates the theoretical leader strategies into realistic actions. Not every action listed in the

plan will have theoretical derivations, but overall, the plan should profit significantly by the insight gained in this course.

4. Well-written and logical. Proper grammar and syntax are essential to clear communication of leader actions. Shortened sentences and bullets are acceptable, so long as their intended meaning is clear. There should be a chronological or otherwise logical flow of leader interventions and actions.

5. Creative and insightful. This course is designed to recognize and encourage creative thinking; therefore, there are no standardized correct answers or school solutions. Leader plans should demonstrate innovation, job knowledge and experience, and leadership theories in application.

Case Study I

You are an evening watch sergeant in Baker Sector. Things have been going well lately, but you have noticed some changes in the performance of one of your officers, Randy Odom. In the six years Randy has been with the police department, he has established an excellent reputation as a hard worker and a smart, “heads up” employee. Lately, however, he seems to be fatigued during his watch; his reports are constantly being returned for errors, and his standards of appearance have fallen. You decide it is time to talk with him.

When asked about his recent change in performance, Officer Odom had this to say: “Sarge, I have been told ever since I’ve been in Baker that I’m one of the best officers on this watch. I’ve really done well—not only for myself but also for the whole watch. I have received outstanding rating reports, letters of commendation from citizens, and commendations from the detectives for tracing stolen property and following up on armed robberies. I have made the most felony arrests on my watch for the last two years. But what did I get for all of that? Nothing! I used to be gung-ho to promote as soon as I could. But I don’t see much hope of promoting to detective now; so why even study for the exam?”

“Six months ago, the lieutenant told me I was ‘in a good position’ to get the next community-oriented policy staff position that became available. But look what happened! There have been two staff positions in those six months, and as you can see, I didn’t get either of them. The main reason I worked so hard was to become a staff representative and have a chance for a better balance between being a cop and my family. It would have gotten me on day watch, and I could spend more time with my family. So I figured, hey, if the department won’t take care of me, I’ll take care of myself. I signed up for a full load of classes during the day so I can get my degree in business administration. Maybe after I graduate, I can do better for myself in my uncle’s furniture store.”

You realize you had better do something quickly. You are on the verge of losing a good officer, and his low morale is starting to affect the rest of the watch.

Use the first three steps in the Leader Thought Process.

I. (Step I) *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) *Analyze* the situation using Expectancy Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

What is/are the individual behavior(s), performance outcome(s), and reward outcome(s) in this situation?

Which component(s) of Expectancy Theory—expectancy, instrumentality, or valence—is/are low (current or anticipated) in this situation?

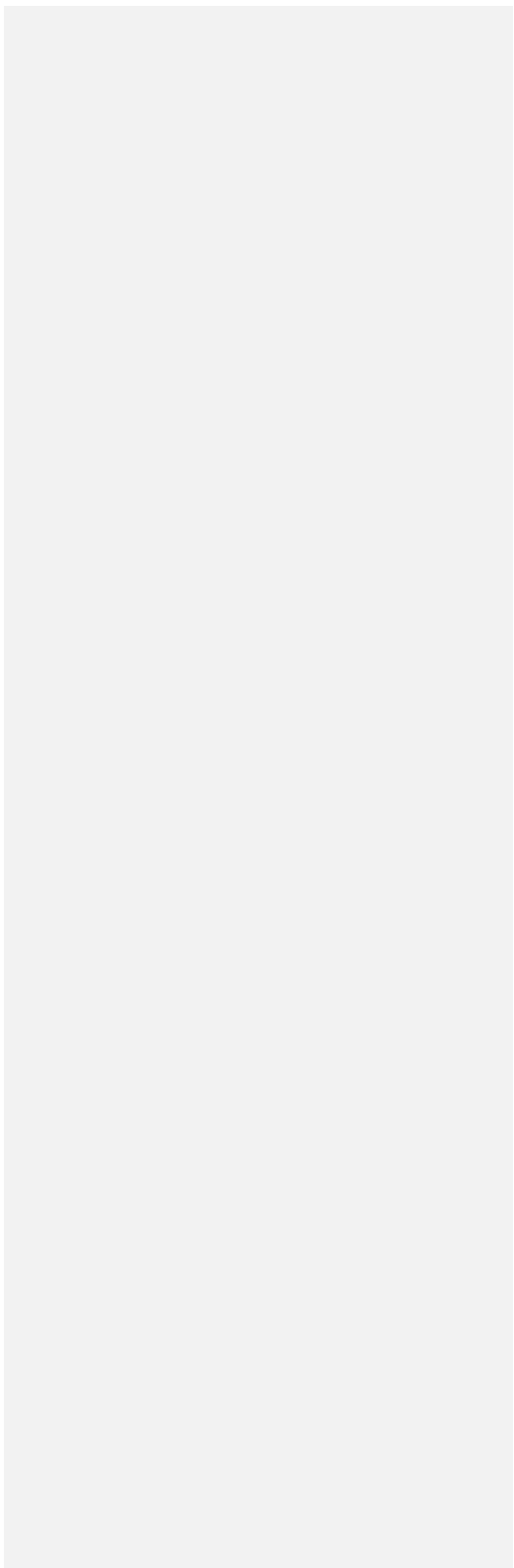
III. (Step II) **Explain** how the low component(s) of Expectancy Theory contributes to a drop in motivation and an Area of Interest(s)

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. (Step III) **Select** a theoretically correct leader strategy(ies) to increase motivation and address an Area of Interest(s).

V. (Step III) **Apply** the theoretical leader strategy (ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.

Write a leader plan of action. Address all the Areas of Interest you have identified and translate the theoretical leader strategies into real-world action. Be as specific as possible as to what you will do and say to whom, when, where, how? What do the theoretical leader actions look like in practice?



Case Study II

You are a fairly new watch commander assigned to the evening watch in a fairly high crime division. Before you transferred to this sector, you had been told that it was a pretty laid back bunch of cops who never get caught in anything wrong but who don't seem to perform very well.

After eight weeks on the job, you have observed the kind of performance you had heard about. Yesterday you got a call from your captain telling you that he is counting on you to take some thugs off the street and start improving the department's image with the citizens whose voices get heard in City Hall. You have talked with several patrol sergeants who have all told you basically the same thing. Most of the cops are pretty good people, no bad cops here. They just want to come to work every day and see what happens. They respond pretty quickly when there is a call for back up. And they make some arrests every day. Their attitude is "crime ain't going away any time soon, so why sweat the stats?" Most of the stuff they do is the same old thing. And they never get any training besides the same old stuff they have done over and over again like how to fill out a report, the latest general order in response to the most recent hot political issue, and computer procedures.

Use the first three steps in the Leader Thought Process.

I. (Step I) **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) **Analyze** the situation using Goal Setting Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Identify the current, explicit individual goal(s).

Classify the current conditions for successful goal setting: what are the specific and measurable individual goals? How difficult and challenging are the goals?

What kinds of goal-setting processes have been used? To what extent have the employees accepted and committed to the goals?

Describe the feedback the employees receive about goal attainment? Timely?
Objective?

What goal setting conditions are missing?

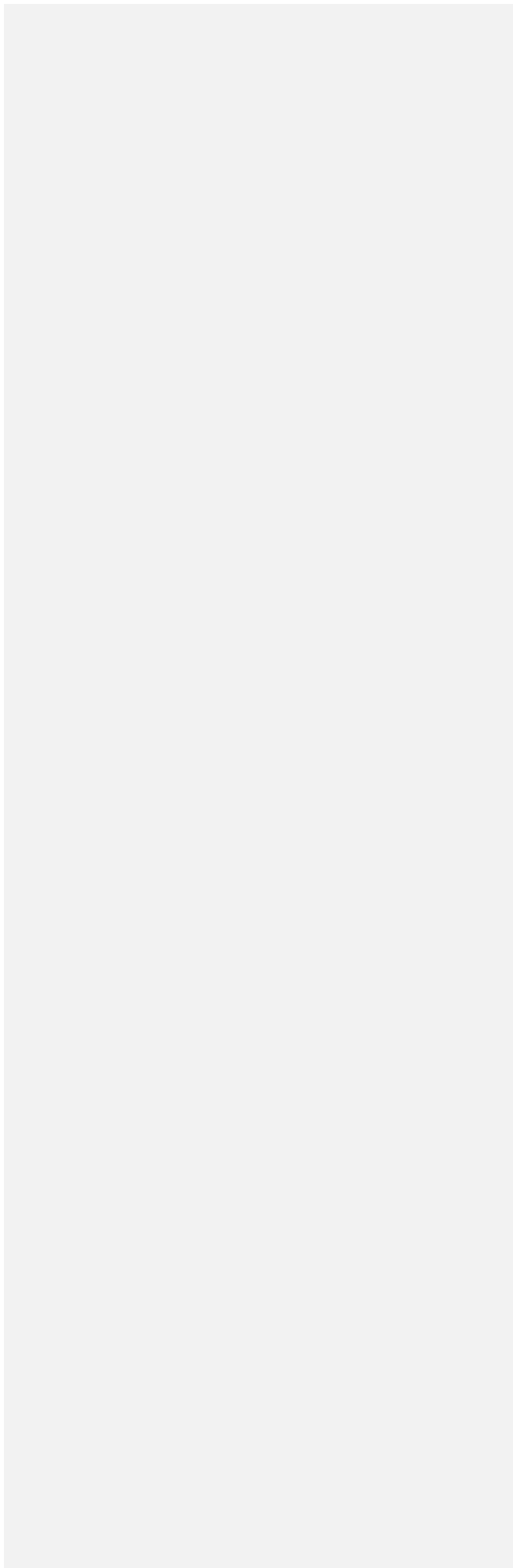
III. (Step III) **Explain** how ineffective goal setting techniques have decreased individual motivation, performance, and satisfaction.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. (Step III) **Select** a theoretically correct strategy(ies) to increase motivation and address Areas of Interest.

V. (Step III) **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.

Write a leader plan of action. Address all the Areas of Interest you have identified and translate the theoretical leader strategies into real-world action. Be as specific as



Name: _____

Complete a Student Journal entry for Expectancy Theory.

Option A

1. Think of any person you have known, including yourself, who appears to have had a lack of motivation in a police work situation. Describe the behavior that leads you to this assessment. What is the person not doing well, not working hard to accomplish, or not showing enough interest in? On what basis did you infer a low level of motivation?

2. How can you account for the low motivation in terms of expectancy, instrumentality, and/or valence? What did the leader(s) do to increase this person's motivation? How well did it work? What happened? How could you have used Expectancy Theory to increase this person's motivation?

Name: _____

Complete a Student Journal entry for Goal Setting.

Option B

Think about your own motivation to do well in your current and next assignment. What are your short-term and mid-term goals, and how do they contribute to your department's mission and goals? What are your long-term goals; what level of responsibility do you want to reach during your career in policing? Apply Goal-Setting Theory to increase your own motivation in the near-term (six to 12 months) and mid-term (two-five years). What specific goals can you set? How committed are you to these goals in terms of their importance to you and the likelihood that you could realistically achieve them if you put in the effort and have a little help, and maybe even a little luck? How can you measure your progress toward reaching your goals? How will you get the feedback you need to measure progress toward the goals? With whom might you discuss your goals? Whose help do you need to develop your self so that you can meet your own goals? What might keep you from discussing your goals with this person(s)?

LESSON 6: EQUITY THEORY

Introduction

This lesson consists of:

1. Equity Theory
2. The Leader Thought Process: Formulate Leader Actions/Select Strategies
3. Case Study
4. Student Journal Entry

Assignment

1. **Read Course Guide**, pages [4345-8188](#).
2. When you solve a case study or act like a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Equity Theory.
 - A. **Classify** all components of the comparison ratio.
 - B. **Identify** the employee's resolution strategy.
 - III. **Explain** Areas of Interest in terms of the employee's chosen resolution strategy(ies).
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address your Areas of Interest.V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.

3. **Complete a Student Journal entry** for Equity Theory.

Describe a time when, in comparison to another person or persons, you believe you were treated unfairly at work by a supervisor or the organization.

Equity Theory

Most individuals believe that life owes them a fair shake. This belief in an equitable distribution of rewards is deeply embedded in our culture and our social system. Most people believe they should get out of a job what they put into it, and that other people should be similarly, not excessively, rewarded.

Equity Theory makes the observation that human beings frequently compare their own skills, talents, and efforts against those of other people. Then, a social comparison is made between the inputs that the involved parties contribute and the outcomes or rewards received. Especially when a particular reward such as a promotion, choice days off, recognition, or anything else is sought, people often evaluate whether they received the rewards they believe they deserve. In short, people tend to decide whether or not they were treated fairly.

This expectation of fairness is a powerful motivating force. Indeed, research has shown that people who perceive unfairness will take affirmative steps to correct this imbalance. These steps, termed *Resolution Techniques*, are designed by the employee to make him or herself feel better about the situation. Resolution Techniques help the person restore his or her own perception of equity, but they can have unpleasant effects upon fellow employees, the leader, and even the organization at large.

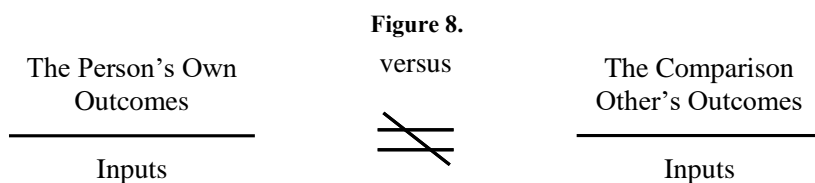
Some managers may be tempted to ignore an employee's perception of inequity, but reflective leaders realize that unfairness, whether actual or perceived, needs to be addressed. As a leader, every decision you make can have equity consequences. Inequity is more than someone else's problem—it is your problem, because it affects the motivation, satisfaction, and performance of your Employees.

The theoretical leader strategy for Equity Theory is always the same—to restore employees' perception of equity, in a manner consistent with organizational goals. This restoration can be done in a variety of ways and must be customized to the individual and the situation, but knowing about equity theory is a strong start! By recognizing which techniques the employee is using, smart, thoughtful, effective leaders can communicate with their people and redirect employees' efforts toward more positive goals. In summary, Equity Theory:

1. Reminds leaders to be aware of their employees' perceived sense of fairness.
2. Informs leaders of the most commonly used Resolution Techniques.
3. Asks leaders to explore the ramifications of the Resolution Techniques.
4. Encourages leaders to take a more active role in restoring employees' perception of fairness by replacing employees' Resolution Techniques with actions that support organizational goals.

Definitions

1. *Comparison Other* is the person, group of people, or ideal that an individual compares one's self to in order to determine if he or she was treated fairly. The comparison other is "the other person."
2. *Inputs* are the work, effort, time, etc. invested by the individual. Inputs are what each party contributes to the situation.
3. *Outcomes* are the rewards and/or punishments received by the individual and the comparison other. What did I (and he or she) get for our efforts?
4. *Comparison Ratio* is a mathematical depiction of the mental comparison (Figure 8):



Resolution Techniques (Used by a person to restore equity)

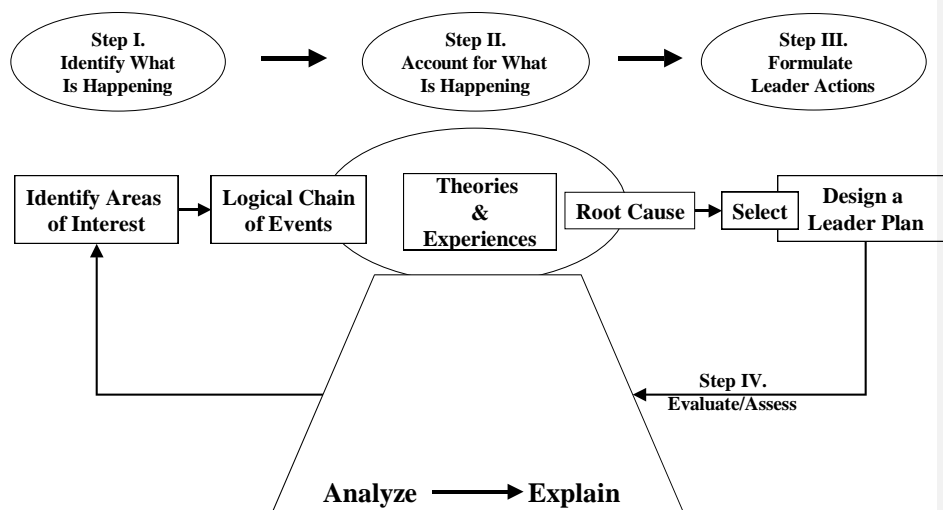
1. *Altering Inputs* is changing the amount or quality of work I submit, thereby making my efforts match the relative rewards I am receiving.
2. *Attempting to Alter Outcomes* is trying to get more for what I am already doing. This may involve approaching a boss to plead my case, submitting a grievance or lawsuit, or using other means to get the rewards I seek.
3. *Changing the Comparison Other* is switching the reference point. If I formerly compared myself with someone and I am dissatisfied with the results, I may elect to find a new person to use as a comparison other. Some employees may discover this technique on their own; an informed leader may counsel others to this solution.
4. *Acting on the Comparison Other* is doing or saying something to the other person in an effort to get him or her to change the effort he or she is exerting. This is done in order to make his or her inputs, or even his or her outcomes, appear more equal to my own.
5. *Cognitively Distorting the Situation* is adjusting my perception of reality, so that it appears more favorable or explains an unfavorable outcome. Statements like, "I really didn't want that promotion anyway," or "I never had a fair chance," are examples of cognitive distortion.
6. *Leaving the Field* is quitting or escaping the situation I believe is unfair. Retirements and transfers are examples of leaving the field.

Leader Strategy

Unlike other theories we will study where there are several alternatives for the leader, there is only one theoretical leader strategy with Equity Theory—restore perceived equity in a manner consistent with organizational goals. This will vary in application, depending upon the employee’s choice of resolution strategies.

Leader Thought Process

Figure 4. The Leader Thought Process



Step III. – Formulate Leader Actions: Select Strategies

Leaders act to make a difference. **Select Strategies** is a critical step of the Leader Thought Process. The theories in this course contain a number of practical leader strategies that have proven effective in a wide variety of organizational contexts. Coupled with your insight and experience, these theoretical strategies have great potential to expand your leadership knowledge and effectiveness.

A few of the strategies you learn will be methods you have already used or seen used in the past; many will be new alternatives. Whether previously known to you or not, the

strategies in this course will increase your ability to call upon these techniques at will, and to communicate your actions to employees, peers, and superior officers. The Select Strategies step sets the stage for the actual leader plan.

To select an appropriate leader strategy, you must know the theoretically correct leader actions for each theory that you have used in the Analyze and Explain steps of the Leader Thought Process. Then, on the basis of your analysis and best explanation of what you have observed and why it is happening, you choose the theoretical leader solution(s) that is most likely to address your Areas of Interest, using the same theory you have used in the Analyze and Explain steps.

From this point forward, most theories in the course will contain one or more theoretical leader strategies. Not all of these strategies are applicable to every situation, although more than one may be applicable in some situations.

As mentioned earlier, in Equity Theory there is only one leader strategy available: to restore the employee's perception of equity in a manner consistent with organizational goals. Therefore, in the Select Strategies step, the answer is simply to restate that phrase. Subsequent theories will contain more options, but the simple restatement of the strategies is all that is required of the Select step.

After choosing the best theoretically correct leader strategy, you must translate that strategy into a realistic and effective leader plan. Your plan must be thorough and include all of your behaviors and communications toward the person(s) you are trying to develop and lead to the achievement of an organizational goal.

Case Study

When you reported to north substation as the new evening watch lieutenant for Edward Sector, you met the commander, John Harmon. As the commander started to fill you in on your new duties, he mentioned that the previous evening watch lieutenant had experienced some problems motivating one of his sergeants, Jack Martin. Furthermore, appearance standards were beginning to fall, and response time was starting to climb in Martin's watch. Commander Harmon then discussed his assessment of the situation: "Sergeant Martin is thirty-two years old and has ten years on the department. He's been a supervisor for three years and was doing a great job until he found out that he had not done well on the recent Lieutenant's exam. Since Jack scored low on the promotional examination, he'll have to wait another year for the next test. In the locker room the other morning, another lieutenant overheard Sergeant Martin say, 'That was really a bogus exam. I am twice as smart, and used to work twice as hard as those golden boys who are gonna get promoted. Don't worry; I've learned my lesson. I'm just gonna lie low for awhile.'"

Commander Harmon continued, "Martin just isn't as committed as he used to be. He still responds to a fair amount of field incidents, but his motivation seems low, and he is much slower to respond to his officers' requests for assistance. He tries to skate out of projects, and he never gets in early to review subpoenas or the info from the previous watch. He's starting to show up for duty just a couple of minutes before show-up, and he's one of the first to leave at end of watch. I don't know when he last stayed to check on the watch, but I bet it has been quite a while.

"When your predecessor asked what was going on, Martin said he has decided to spend more time with his wife and new daughter. He just doesn't seem to be putting into the job what he used to. He shows up for work everyday but that's about it. Sometimes it seems that he's just going through the motions."

The commander added, "I'd really like you to check into this situation. Jack Martin is a good man, but we're definitely not getting our money's worth these days. Martin has a bright future in this department, if only he can get motivated again. If he's not careful, he's gonna wind up throwing his career and my respect for him right down the drain!"

Use the first three steps in the Leader Thought Process.

I. (Step I) *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) *Analyze* the situation using Equity Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Who is Sgt. Martin's comparison other?

What does Sgt. Martin perceive as his personal inputs?

His outcomes?

What does Martin perceive as the inputs of his comparison other?

His comparison other's outcomes?

If Sgt. Martin perceives inequity, what Resolution Techniques has he employed?

III. (Step II) **Explain** Areas of Interest in terms of the employee's chosen resolution strategy(ies).

What is the connection between perceived inequity and motivation, satisfaction, and/or performance?

How has a perception of inequity affected Sgt. Martin's motivation, satisfaction, and/or performance?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. (Step III) **Select** an appropriate theoretical leader strategy(ies) to address your Areas of Interest.

Which theoretical leader strategy will be effective in this situation, according to the theory(ies) you have used in the Analyze and Explain steps above?

V. (Step III) **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.

Name: _____

Complete a Student Journal entry for Equity Theory.

Describe a time when, in comparison to another person or persons, you believe you were treated unfairly by a supervisor or the organization.

With whom did you compare yourself? What was your perception of your inputs and outcomes? How did you perceive the other person's inputs and outcomes? What did you do to deal with your perception of inequity? How did your leader(s) respond to your reaction(s)? How effective was the leader's action(s) in restoring your perception of equity? If your leader(s) did not restore your sense of equity, what could they have done to achieve this, according to Equity Theory? What would you have done if you had been a leader facing a similar Area of Interest?

LESSON 7: MOTIVATION THROUGH CONSEQUENCES (MTC)

Introduction

This lesson consists of:

1. Motivation through Consequences (MTC) Theory
2. The Leader's Thought Process: *Assess* What Is Happening
3. Case Study
4. Student Journal Entry

Assignment

1. **Read Course Guide**, pages [84111-110138](#).
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using MTC Theory.
 - A. **Identify** the behavior(s) the leader wants to increase/decrease.
 - B. **Identify** the consequences that presently follow the behavior/Area(s) of Interest.
 - C. **Identify** the models or examples of behavior that have been observed and imitated.
 - D. **Classify** the employee's(s') level of self-regulation.
 - III. **Explain**
 - A. **Describe** the effect of the present consequences on the desired behavior.
 - B. **Describe** how the behavior of a model(s) has affected the behavior of the employee(s).
 - C. **Describe** how the employee's(s') capacity for self-regulation affects his or her current behavior.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
- 3) **Complete a Student Journal entry** for MTC Theory.

Based upon your police experience, provide an example of a behavior that has been motivated or unmotivated by consequences from the leader(s).

Motivation through Consequences Theory

“Praise makes good men better and bad men worse.”

—Thomas Fuller

In this lesson we will study how people are motivated by the consequences of their behavior and how a leader can attempt to change these behaviors by changing the consequences or what happens after the behavior has been performed. This **Motivation through Consequences** approach forms an important foundation of leadership. Most likely, you are familiar with the terms *positive* and *negative reinforcement*, *punishment*, and perhaps even *extinction*, *observational learning* and *self-regulation*. These six terms form the Leader Strategies for this theory.

Motivation through Consequences holds great potential for the leader. By reexamining the way leaders reward and punish, by recognizing how much followers rely upon their leader’s guidance, and by capitalizing upon the powerful influences of observational learning and self-regulation, leaders can steer employees’ behavior toward organizational goals employee development. In the process, we can examine our own behavior and learn to avoid some common failures of leadership, thereby boosting our understanding of human behavior and becoming smarter, more thoughtful, and more effective leaders!

As Jack approached the table in the dining room, he could see that his old friend, Bill, was distressed. After a few words of greeting, Jack finally asked Bill what was bothering him. Without hesitation, Bill blurted out: “It’s my new boss. I don’t know where I stand anymore. He has been on the job for several months and I still don’t know what he expects. He seems to run hot and cold; he’s inconsistent.” Bill continues, “There has been little communication between us other than an occasional nod in the hallway, and he has rarely given me feedback concerning my performance. I’m a professional, and I enjoy professional relationships! I sought out the boss with some ideas about improving our operations, and at the same time tried to get some hint of what he expects. All I gleaned from our brief discussion was that he manages by exception and that ‘no news is good news.’ I can’t live with that.”

Jack asked if Bill’s colleagues were having similar experiences. Bill frowned, “The boss severely criticized our new secretary the other day for what seemed to be an inconsequential error. She quit!” Bill added, “Morale is pretty low. Perhaps in time I could adjust, but I’ll resign first.”

You have probably received a pat on the back for doing a task well. Did the pat on the back influence your subsequent performance? Chances are, it did. You probably tried to match or even exceed your previous level of performance. You have probably also been reprimanded for an undesirable act. Did you stop performing that act? Chances are, you may have—or you at least made sure you were not caught again. In both cases, your

behavior was influenced by past consequences. One way for the organizational leader to influence the behavior and performance of followers is by managing the consequences of past performance. In the opening vignette, Bill was a victim of a leader who apparently was unaware of this fact.

This chapter deals with how a leader may use a system of rewards and punishments to help motivate followers to accomplish organizational objectives. Is there something from the scientific study of rewards and punishment that can be useful for an organizational leader? Does the frequency of reward or punishment have an impact on performance? Does it cost the leader to reward? To punish? Are group punishments and rewards effective? To address these and other questions, we will first examine a theory concerning rewards and punishment. Following that, we will discuss the application of this theory.

Behaviors and Consequences

In 1905, the American psychologist E.L. Thorndike asserted that when behavior in a particular situation is followed by satisfaction, the satisfaction will become associated with that situation. When that situation recurs, the behavior is also likely to reappear. In contrast, he stated that any behavior that produces discomfort in a particular situation is less likely to reappear when the situation recurs. Together, these two statements constitute what is called the **Law of Effect**.¹ For organizational leaders, this law means that what happens to a follower as a result of job performance will have an effect on subsequent job performance. Although the proponents of this approach would not use the term *motivation*, the net result of understanding this process is the same for the leader—improved job performance. Hence, we will use the term motivation in this chapter.

Much of what we know about the relationship between behavior and consequences comes from the well-known psychologist B.F. Skinner and his work with operant conditioning. Remember that in Lesson 3 we discussed the individual system in terms of inputs, throughputs, outputs, and feedback. Unlike other explanations of motivation discussed in Lesson 4, Skinner does not hold that throughput processes such as equity, expectancy, or needs, are required to explain output behavior.² In essence, he states that if we cannot see or measure the throughput, we should not worry about it. We can see and measure input and behavioral output, and we know some things about the relationships between them. Thus, Skinner's approach is very different from the IPS model you learned in Lesson 3.

Skinner has identified a set of principles that explain how behavior is directly influenced by its consequences. These principles can be useful to the leader in influencing behavior within the organization. In order to lay the foundation for applying these principles, we will begin by discussing operant conditioning as it relates to performance outcomes.

Operant Conditioning and Performance Outcomes

In general, the Law of Effect tells us about the likelihood and frequency of a behavior recurring. In everyday conversation, we use a variety of expressions to describe the frequency of behaviors. For example, we may say that a person is a jogging buff, is enthusiastic about reading, or works long hours. What we are implying with these

¹ Thorndike, E.L., *The Elements of Psychology* (New York: Seiler, 1905), p. 202.

² Lieberman, D.A., "Behaviorism and the Mind," *American Psychologist*, 4, (1979), p. 323.

expressions is the frequency with which the person performs certain actions.³ For the leader, operant conditioning involves changing the probability that a particular response will occur by adjusting environmental variables associated with that response.

Components of Operant Conditioning

There are three basic components of operant conditioning: the *discriminative stimulus* (input); the *operant response* or behavior (output); and the *consequence* associated with the output.

Since many stimuli exist in our environment, we must learn to discriminate those that signal an act that will be followed by a consequence from those that are irrelevant. Stimuli that signal a consequence are termed discriminative stimuli, and are symbolized as S^D . A discriminative stimulus sets the stage or provides the occasion for a response. It is important to note that the S^D does not force a response in the same way that a puff of air will cause an eye blink. Rather, it says to us, "If you act now, your action will have certain consequences." The telephone ring, for instance, provides the occasion for us to pick up the receiver.

An operant response, symbolized by R, is a freely emitted action that operates on the environment. In operant conditioning, an operant response is not a forced output caused by a discriminative stimulus but is a voluntary output associated with the stimulus. One response to the ringing telephone is to pick up the receiver. However, there are a variety of other voluntary responses that are equally viable. For example, we could just continue working, leave the room, or scratch our head. The response that we select is strictly up to us; it is voluntary. The discriminative stimulus, the phone ringing, merely provides an opportunity for a particular operant response to occur.

However, there are consequences to our selection of a response. A consequence is what we get for our efforts. In effect, it is another stimulus that follows the operant response and provides feedback to us about what we did. Recall from the Law of Effect that in providing feedback, the consequence either increases or decreases the probability that the response will recur in the presence of a particular discriminative stimulus. In our telephone example, what is the consequence that follows the act of answering the phone? It is the opportunity to talk to someone. What is the consequence of continuing to work? Of course, it is not knowing who wanted to talk to us or what they wanted. It could be a missed opportunity.

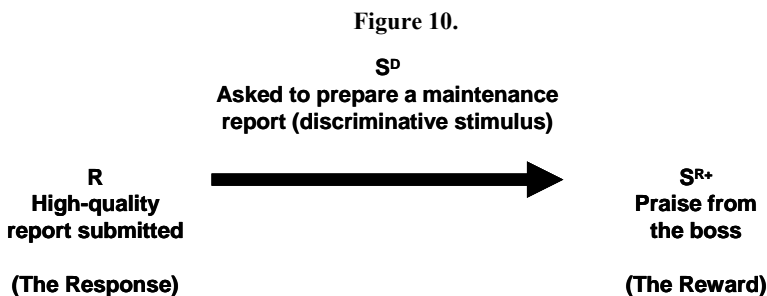
³ See Skinner, B.F., *Science and Human Behavior* (New York: The Free Press, 1965), p. 62.

Consequences and Contingencies

From the examples used above, it is apparent that our choice of response and the associated consequences of that choice are important considerations for predicting behavior and performance. At one extreme, when a consequence follows a response with some degree of regularity, the consequence can be said to be contingent upon the response. For example, if an individual is paid for each day of work and not paid for each day of absence, we say that pay is contingent upon a day's work. The arrangement of these responses and consequences is sometimes called a *behavioral contingency*. We will discuss here some of the consequences and behavioral contingencies that can be used by an organizational leader.

It is important to keep in mind that in operant conditioning, the consequences are functionally defined. That is, their definitions are based on how they influence subsequent behavior. We cannot properly label a consequence until after we observe what happens to the rate of response following the consequence. For example, we cannot say that a letter of appreciation is a reinforcer for followers until we determine what happens to their performance after they receive one. If performance increases, the letter of appreciation is a *reinforcer* (S^R). A reinforcer increases the probability that a response, in the presence of a particular discriminative stimulus, will recur. For the organizational leader concerned with increasing the chances that a certain follower will continue to perform a particular response, this implies that the consequences that are reinforcing for that follower must first be determined.

A *positive reinforcer* (S^{R+}) is something that when added to the situation will increase the likelihood of response.⁴ We call the contingency in which a positive reinforcer follows the response to the discriminative stimulus the *reward contingency*. For example, consider the follower who is asked to prepare a maintenance report for the past month. The response is to devote time to thorough research and preparation, resulting in a high-quality product. As a consequence, the boss praises the follower for the good work. In the future, as long as the follower does high-quality work, praise continues. The presentation of the positive reinforcer (praise) is made contingent on high-quality work. The effect is an increase in the probability that the follower will perform at a high level the next time the report is due. Symbolically, Figure 10 shows this relationship:⁵



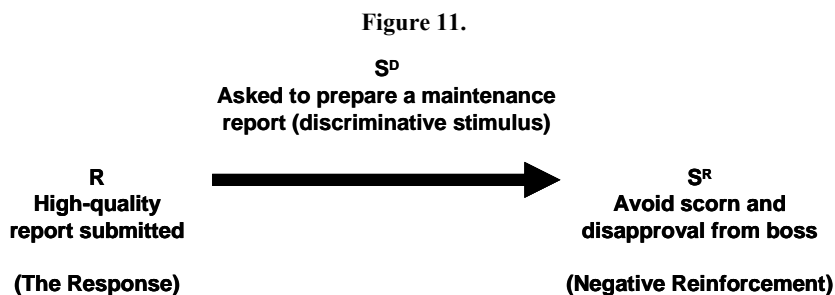
⁴ *Ibid.*, p.73.

⁵ Diagrams of the five contingencies are taken from Zimbardo, P.G., *Psychology and Life*, 10th Edition (Glenview, Ill: Scott, Foresman and Company, 1979), p. 85.

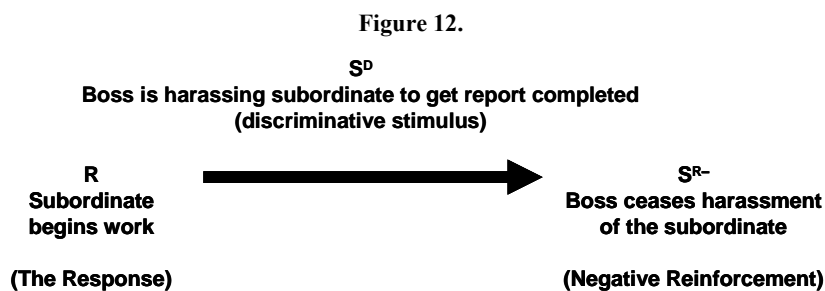
In organizational settings, recognition, praise, pay increase, good efficiency rating, and promotion are often used as positive reinforcers, but the selection of a specific reinforcer depends on the situation. The organizational leader must be careful to select a positive reinforcer that has, in the past, increased the likelihood of the recipient's responding. We must keep in mind that what is rewarding to one person may not be rewarding to another. Some people thrive on praise and recognition, while others might just prefer free time.

A *negative reinforcer* (S^{R-}) is something that if removed from the situation increases the likelihood of response. The individual who receives a negative reinforcer increases performance either to avoid or to escape an unpleasant situation.⁶

Consider again the follower who is preparing the maintenance report. If this follower knows that failure to submit quality work will lead to the scorn and disapproval of the boss, the follower may produce high-quality work to avoid this consequence. This relationship is illustrated in Figure 11:



Similarly, if the follower is being yelled at or harassed by the boss on a continuing basis, the follower may begin work on the report or begin to work faster in order to escape the harassment (Figure 12).



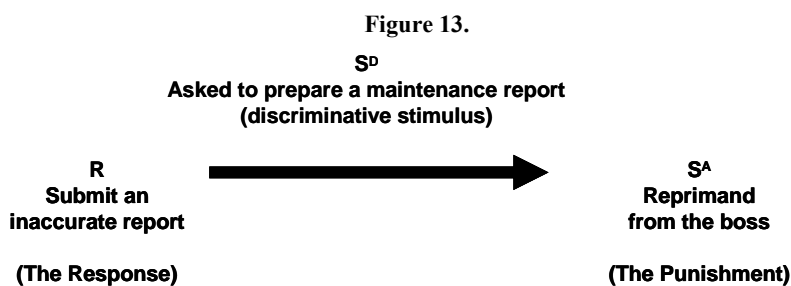
Negative reinforcement is often confused with punishment, which will be discussed later. The two concepts are not the same. It is important to remember that negative reinforcement increases the probability that the response will be repeated.

⁶ Skinner, *op. cit.*, p. 73.

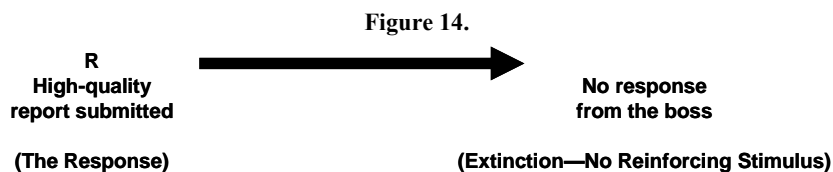
An *aversive consequence* (S^A), on the other hand, leads to a decrease in the probability that the response to a particular stimulus will recur. It involves the presentation of some unpleasant stimulus, which makes us less likely to repeat the behavior that it follows.

This is a punishment contingency. Remember, because consequences are functionally defined, it is first necessary to observe the response rate decreasing before we can label the consequence stimulus as aversive. Reprimands, demotions, poor efficiency ratings, and dismissal are some of the aversive consequences used in organizations.

Imagine again that the follower is unable to find sufficient time to prepare the report. Consequently, the report is submitted a week late with many errors. A reprimand from the boss serves as punishment for the undesirable behavior (late, inaccurate report) and is intended to decrease the likelihood that the follower will submit similar reports in the future (Figure 13).



Occasionally, an operant response is not followed by any reinforcing or aversive consequence, as we saw in the vignette at the beginning of the chapter. The effect of no consequence is similar to that of an aversive consequence because it decreases the response probability. In general, we tend to perform responses that have some form of payoff. When no payoff is forthcoming, we are less inclined to engage in the behavior.⁷ For example, extra effort that goes unrecognized frequently drops off. “Why devote the extra effort if nobody notices?” We call this final contingency *extinction*. If the boss were to stop reinforcing the employee’s high-quality work on the report or even if the boss ignored the work altogether, chances are the employee would spend less time preparing subsequent reports. We may expect the employee to mutter, “If the boss doesn’t think the report is important anymore, then I’m certainly not going to expend a lot of energy preparing it.” This relationship is reflected in Figure 14:



⁷ *Ibid.*, p. 69.

What does this discussion of operant contingencies tell the organizational leader? Hopefully, the answers to that question are clear. If the leader wants to increase the likelihood that desirable actions will recur, reinforcing contingencies should be used. If the leader desires a decrease in the response rate, punishment or extinction is appropriate.

Negative reinforcers involve the escape from or avoidance of unpleasant situations. If the leader desires to decrease undesirable behavior, the punishment or extinction contingencies should be used. Negative reinforcement is the termination of an unpleasant stimulus that increases the chances that a behavior will be repeated, while punishment is the presentation of an unpleasant stimulus that stops behavior.

Leaders also need to recognize that consequences are functionally defined. That is, a consequence may be reinforcing for one person but non-reinforcing or even punishing for another. Consequently, the organizational leader needs to determine ahead of time the effect of various consequences on followers. A leader can do this by investigating a follower's reinforcement history (talking to former supervisors), or through conversation with the follower. Otherwise, a situation like the following may well occur:

Joe: Hey, Bill, congratulations on that last report you turned in. I understand the boss was really impressed.

Bill: Are you kidding? That's the last time I spend so much time on a report for him.

Joe: What do you mean? He told me that as far as he was concerned, you had a big future in this organization. Didn't he say anything to you?

Bill: Yes. He gave me another report and told me he expected the same good job in half the time. Some reward that is!

Schedules of Reinforcement

"Say, Dad, why do you keep putting your coins into that machine with the handle and the little dials that spin?" asked the little boy. "Seems like a waste of hard-earned money to me. I'd sooner have an ice cream cone!"

"Just wait. I made fifty bucks on my second pull of this lever. I'm bound to strike it rich again if I just keep at it. This machine is hot!"

As we have just discussed, reinforcers increase the likelihood that the action will be repeated. However, the timing or scheduling of reinforcers can also affect the nature of the response rate. The effectiveness of a reinforcer actually varies with the scheduling of its presentation.⁸

Skinner and his associates discuss a variety of reinforcement schedules.⁹ The two general categories that are most relevant to the organizational leader include continuous and partial reinforcement schedules. Under a *continuous reinforcement schedule*, a reinforcer follows every correct response. Using this schedule increases behavior rapidly; however, when the reinforcement is removed (extinction), performance also decreases rapidly. Since it

⁸ Hamner, C.W., "Reinforcement Theory and Contingency Management in Organizational Settings," in *Motivation and Work Behavior*, eds. R.M. Steers and L.W. Porter (New York: McGraw-Hill Book Company, 1979), pp. 151-178.

⁹ Ferster, C.B. and B.F. Skinner, *Schedules of Reinforcement* (New York: Appleton-Century-Crofts, 1957), pp. 3-7.

is difficult for the organizational leader to be present to observe and reward every correct response of each follower, continuous reinforcement is not very practical for use over a long period of time. Imagine the cost to the leader in terms of the time and effort it takes to praise everyone in the organization every time they did something desirable.

With *partial reinforcement schedules*, a reinforcer is not administered after every correct response. Rather, reinforcers are only presented some of the time. These schedules have been shown to be more resistant to extinction; that is, desired responses continue longer without reinforcement.

There are two basic dimensions to partial reinforcement schedules—interval versus ratio, and fixed versus variable. *Interval* refers to time (every so often), while *ratio* refers to events (every so many successful performances); *fixed* refers to a predefined schedule, while *variable* means that the reinforcement occurs irregularly but averages at a particular schedule. When we combine these as shown below, we see examples of four basic partial reinforcement schedules pertinent to our study of motivation in organizations.

Examples of Partial Reinforcement Schedules

	Interval	Ratio
Fixed	Weekly or Monthly Paycheck	Piece-rate Pay, Commission Pay
Variable	Praise, Recognition, Supervisory Visits	Monetary Sales Bonuses

With a *fixed ratio schedule*, the number of correct responses is held constant. For example, in a fixed ratio five schedule (FR 5), a reinforcer is administered after every five correct responses. Piece rate pay systems in which a worker is paid based on the number of units produced (a dollar for every five boxes produced) and sales commissions are examples of fixed ratio schedules. These schedules produce very high rates of response.

With a *variable ratio schedule*, the number of correct responses necessary for a reinforcer is varied from the occurrence of one reinforcer to the next, around the average. So, for example, an individual on a ten to one variable ratio schedule (VR 10) might receive a reinforcer after five responses, then after fifteen, then after ten, with the average of one reinforcer for every ten correct responses. Playing a slot machine represents a variable ratio schedule. In an organization, monetary bonuses lend themselves to this type of reinforcement schedule.

Salary pay schemes where the individual receives a weekly or monthly paycheck represent *fixed interval schedules*. In a fixed interval schedule, the time interval is constant (e.g., every day, each week, once a month). These schedules produce an interesting response pattern. Since only one correct response is necessary in the time interval, the response rate tends to drop off following reinforcement and then increases until a high rate occurs just before the end of the interval. If we want followers to work hard all the time, we probably do not want to use this schedule by itself. It is probably most appropriate for administering base pay.¹⁰

With a *variable interval schedule*, reinforcers are administered at a variable time interval around some average. Praise, supervisory visits, and promotions may be appropriate

¹⁰ Hamner, *op. cit.*, p. 493.

for this type of schedule. Because reinforcers are unpredictable, response rates are very high and are extremely resistant to extinction.¹¹

For the organizational leader, the issue of reinforcement schedules can be critical. Leaders often become so involved in the day-to-day activities that they either forget to reinforce at all or revert to the time saver: “If you don’t hear from me, you’re doing alright.” (Recall the opening vignette.) Of all the schedules, the variable interval or variable ratio, where response rate is high and extinction is low, are probably the best for most organizational situations. Variable interval is usually more convenient for the leader. In service organizations, where the types of available reinforcers are greatly restricted, variable reinforcement is particularly useful.

Regulation of Behavior

So far we have discussed the effects of external consequences on behavior. As we have seen, external consequences that follow an action exert a powerful influence on subsequent behavior. However, we know it is not necessary to receive a reprimand personally to learn that a particular action is undesirable. We can also learn from observing what happens to other people in a given situation. Psychologist Albert Bandura and his associates point out that “people can profit from the successes and mistakes of others as well as from their own experiences.”¹² Observing the consequences of another’s actions can have as much of an influence on our own behavior as a directly experienced outcome. Thus, we are likely to imitate a behavior that resulted in a reinforcer for someone else, if we have the capability to perform the behavior. Similarly, we will probably not voluntarily imitate a behavior that resulted in punishment for another person. This process is known as *observational learning*; the observed consequences are termed vicarious reinforcements and vicarious punishments.¹³

It is important for organizational leaders to consider observational learning when administering rewards and punishments. When we observe the consequences of others’ actions, we may form expectations that certain consequences follow certain actions. As a result, we may behave as if we experienced the consequences directly. Similarly, the behavior of others that has no consequence—i.e., the behavior that goes unrewarded and unpunished—also creates expectations. “Joe did all that work, and not a peep about it from the boss. What’s the use?” or “I can’t believe the boss didn’t get upset at what Joe did. It must be alright to do it.” Organizational leaders should be aware that the consequences administered to one person might influence the behavior of others in the organization.

While our behavior is strongly influenced by both experienced and observed external consequences, these do not constitute a complete explanation of behavior. If our behavior were solely determined by external consequences, we would be like a flag waving in the breeze, continuously shifting with the wind. Our behavior would be strictly a function of whom we were with at any given moment. This is a rather limited view of behavior. As humans, we possess the capability to regulate our own behavior and exercise self-control. Although Skinner chooses to focus on external environmental variables in an effort to attain scientific rigor, other psychologists such as Bandura do consider internal cognitive processes when discussing the relationship between actions and consequences. From Bandura’s work,

¹¹ *Ibid.*, p. 492.

¹² Bandura, A., *Social Learning Theory*, ©1977. Adapted by permission of Prentice-Hall, Inc., Englewood Cliffs, N.J.

¹³ *Ibid.*, pp. 118-119

we can gain an understanding of the process by which internally generated consequences influence behavior. This process is known as *self-regulation*.

The process of self-regulation involves the measurement of behavior against certain internal standards and the administration of internally imposed consequences. The table below summarizes the three components of self-regulation as formulated by Bandura.¹⁴

Components of the Self-Regulation Process

Performance•	Judgmental Process	Self-response
Evaluative Dimensions	<ul style="list-style-type: none"> • Personal Standards <ul style="list-style-type: none"> Modeling/vicarious consequences Own reinforcement history • Referential Performance <ul style="list-style-type: none"> Norms Social comparison Personal comparison Collective comparison • Valuation of Activity <ul style="list-style-type: none"> Regarded highly Neutral Devalued • Performance Attribution <ul style="list-style-type: none"> Internal factors External factors 	<ul style="list-style-type: none"> • Self-evaluative Reactions <ul style="list-style-type: none"> Positive Negative • Tangible Self-applied Consequences <ul style="list-style-type: none"> Rewarding Punishing • No Self-response
Quality		
Quantity		
Originality		
Authenticity		
Deviancy		
Ethicalness		
Results		

Behavior can be classified into a variety of evaluative dimensions. For example, a basketball player's efforts may be gauged in terms of the number of points scored in a game, while a swimmer's performance may be classified according to time. We often use quantity, quality, and originality in classifying work performance. Social behavior may be judged on the basis of authenticity, results, deviancy, and ethical quality. Indeed, a single performance involving several actions may even be classified along a variety of dimensions. A marathon runner may run at record speed (rate) and thus win the meet (results) but take a shortcut in the process (ethics). In self-regulation, the individual learns to set personal standards upon which to base judgment.

The judgment of performance may be based on several standards. Indeed, the final self-evaluation is a function of the judgment standard selected. Operant conditioning processes help explain the development of personal standards. That is, through our reinforcement history we learn which behaviors are correct. This past experience can form the basis for the assessment of present and future actions. Similarly, observational learning also accounts for personal standards. The nature of the models we encounter and the consequences of their actions also provide a basis for evaluating our own behavior.

Ideal standards of performance are often impractical or inappropriate for many of our daily activities. Consequently, we sometimes refer to others' actions in judging our own performance. Through *social comparison processes*, we compare our own performance to

¹⁴ Bandura, *op. cit.*, p. 130.

that of another individual or to a group of individuals. As discussed in Equity Theory (Lesson 4, Individual Needs, Expectations, and Motivation), we tend to select as a basis for comparison others who are or have been in similar situations. Have you ever noticed students comparing examination scores? “I got a 65 on the test. What did you get?” A 65 means one thing if the group average is 92 and another if the average is 25. We also may use our performance at an earlier time and group norms as a basis for judgment. Along with comparing our performance to that of others, we also compare it to the formal and informal rules of the group.

A person’s assessed value of an activity provides another basis of judgment and has an impact on the self-regulation process. We probably do not care how we perform in situations that are of little value to us. Why spend the effort on an insignificant activity? Valued activities, on the other hand, may have a significant effect on self-appraisal. For example, extremes in self-regulated behavior can be observed among some religious groups.

Internal consequences are influenced by the perceived determinants of an individual’s actions. We are proud of good performance that results from our own effort and ability. Little self-satisfaction comes from actions resulting from external factors. Similarly, we are often critical of ourselves when failure is our responsibility, but not when it is the result of factors beyond our control.

As a result of self-judgment processes, we generate internally controlled consequences (self-responses). These may be in the form of positive or negative emotional responses such as self-pride, self-satisfaction, or self-criticism, or in the form of tangible self-administered consequences. “When I finish reading this chapter, I will get something to eat and watch television.”

It should be apparent that any given behavior produces two sets of consequences—those that come from external sources and those that are generated through self-regulation. The organizational leader needs to be aware that both internal and external consequences influence the behavior of followers. Further, internal and external consequences may become dysfunctional when they oppose each other. People generally experience internal conflict when anticipated external and internal consequences are incongruent. For example, the person who is ordered by a supervisor to falsify a report may experience conflict between anticipated external punishment for noncompliance with the order and anticipated internal self-reproach for compliance. If internal consequences outweigh external inducements, the internal controls will determine the action taken; but if the action produces greater external consequences than the self-evaluative process, the internal controls will have little influence on the actions. As Bandura states,

External consequences exert greatest influence on behavior when they are compatible with those that are self-produced. These conditions exist when externally rewardable acts provide self-satisfaction and externally punishable ones are self-censured. To enhance compatibility between personal and social influences, people select associates who share similar standards of conduct, thereby ensuring social support for their own system of self-reinforcement.¹⁵

¹⁵ *Ibid.*, p. 155.

Application of Rewards and Punishment

Until now, we have been concerned primarily with the theory of rewards and punishment. We will now examine a reinforcement-oriented approach to motivation, discuss considerations and techniques of rewarding and punishing, and develop a functional model for applying rewards and punishment at the organizational level.

A Reinforcement-Oriented Approach to Motivation

As we have already learned, a reinforcement-oriented approach to motivation is generally preferable in most leadership situations. This is not only because it seems to promote higher performance levels and is more acceptable to followers, but also because it allows the leader to focus on results rather than the complex side issues of follower attitudes and emotions that result from punishment. One such approach is proposed by organizational behaviorist W. Clay Hamner and associates.¹⁶ They suggest a four-stage program as follows.

First, the leader conducts an *audit* (a detailed, orderly examination) of present individual performance. In other words, he examines what the follower is actually doing. Second, the leader specifies goals—clearly defined, measurable, and published—that are developed for each follower based on the performance audit and knowledge of organizational goals. Follower goals should incorporate the specific terminology of the audit and use the audit status as a point of departure. In the process, reward contingencies, plan of evaluation, and timeframe of evaluation are clearly spelled out. When invited, followers may make contributions to the development of their goals.¹⁷

Third, the follower, as measured against the goals, maintains a record of personal performance. This activity provides continuous feedback and stimulates intrinsic reward and punishment processes. The work and specific goals are so structured that recording is done frequently—daily or weekly. While the mechanics of recording and the unit of performance measurement are dependent on the nature of the job, Hamner specifies that the process should accentuate the positive approach. That is, goals should be expressed in terms of accomplishment units completed or equipment kept operating, rather than failure, number of units rejected, or equipment items inoperable.

Fourth, the leader reviews the follower-kept performance record and provides positive reinforcement such as praise, a bonus, or recognition when appropriate. This complements the intrinsic reinforcement already experienced by the follower. When positive reinforcement is withheld because of substandard performance, the follower should already be aware of the deficiency. Therefore, in most cases no action by the leader is necessary.

Such a system can be effective if appropriate reinforcers are available to the leader. While the leader can always rely on praise and approval, a more detailed discussion of organizationally available reinforcers is necessary.

¹⁶ Hamner, W. and E.P. Hamner, "Behavior Modification on the Bottom Line," in *Motivation and Work Behavior*, eds. R.M. Steers and L.W. Porter (New York: McGraw-Hill Book Company, 1979), pp. 179-181.

¹⁷ The reader can find additional information about the participation of followers in establishing their own performance goals in most organizational behavior or management texts under the heading, "Management by Objectives" (MBO).

Reinforcement in Organizations

Reinforcers are generally divided into two categories—*primary* and *secondary*. Primary reinforcers have value in and of themselves. These reinforcers satisfy basic human needs such as food, water, rest, and recognition. Secondary reinforcers do not have innate value; nevertheless, they usually have a powerful influence on behavior because they can be used to acquire personal need satisfiers. People learn to value money, promotion, time off, and the like because of how they can be used. Because these are learned relationships, their relative value fluctuates among followers. If a person has not learned to associate free time with rest, fun, or some other satisfying activity, it may be of little value as a reinforcer.

Just as followers learn to value secondary reinforcers, they can also learn to value or devalue an award because of the manner of presentation. The manner in which the award is presented can enhance the value of an otherwise routine award. For instance, an award that is normally presented in the leader's office along with kind words and a handshake might be awarded in front of family, friends, and a photographer with an accompanying news release. A reception in pleasant surroundings might further enhance the value of the award. The leader's method of presenting the award can make the same award more or less prestigious and prized, even though there may be little difference in the cost to the leader of the organization.

The value of a reinforcer can also be reduced if it is used routinely or too frequently--too much of a good thing can actually become unrewarding. Anyone who has become bored with inactivity after a few days of school vacation can attest to this. Followers may begin to take a reward for granted; hence, the worth of the prize is diminished. Such is frequently the case with awards for service rendered (as opposed to performance awards).

Technique is important in reinforcement. Although situational factors often determine appropriate techniques, the leader would do well to establish a technique around certain fundamental characteristics like sincerity, quality, consistency, and timeliness. Followers are usually quick to identify false or half praise, and the result is often resentment and tainted leader integrity. Likewise, when a follower deserves a quality compliment for a quality performance, the leader must follow through with reinforcement or his or her lack of action will serve as a non-reinforcer (recall that non-reinforcement leads to extinction of behavior). Consistency in administering rewards and punishment, therefore, enhances their effectiveness in influencing follower behavior. Inconsistency may cause confusion about what the leader expects and would thus be detrimental to good morale. Timely reinforcement, for instance, heightens the impact of a reward. That is, the sooner the reward is given following the desired behavior, the greater the influence on subsequent behavior. In the case of major awards in large organizations, delays due to administrative processing are often encountered. It may be advisable, therefore, to provide interim recognition of the behavior immediately and then to follow up with the principal award when it is ready.

Hamner outlines an appropriate reinforcement process in three steps. First, "select reinforcers that are sufficiently powerful and durable to 'maintain responsiveness while complex patterns of behavior are being established and strengthened.'"¹⁸ Second, design reinforcement contingencies so that the reward is tied to the desired performance both in kind and magnitude. It is just as inappropriate to reward with great fanfare the follower who only achieves specific goals for a period of a week, as it is to give only faint praise to one who has

¹⁸ Bandura, A. as quoted by Hamner in *Motivation*, p. 157.

consistently performed well above the specified goals for more than a year. Third, use the reward contingencies in such a way that the follower understands what performance is desired as well as when and how it is desired. When the leader's expectations are not communicated as part of the reinforcing mechanism, reinforcement of the follower may be ineffective or even squandered. In this case, training may be instrumental in developing the desired performance patterns.¹⁹

When the desired behavior is not simple, *shaping* may be used to build or mold it. In *shaping*, the leader reinforces behaviors that get successively closer to what is desired until the desired performance is achieved. Nearly everyone has been exposed to *shaping*. Teaching a child to swim, training a soldier to parachute, or training a young adult to fly a helicopter are examples of *shaping*. The teacher cannot wait for the entire act to be performed before reinforcement is given.

Punishment in Organizations

Organizational theorists are often accused of naiveté because they appear to promote reward and discourage punishment. This, of course, is not the case. The point that behavioral scientists are making is that the two have very different purposes—one promotes behavior; the other stops it.

Although punishment can be a highly effective contingency, its execution is often very demanding on the leader. The underlying purpose of punishment should be to motivate the follower to not perform in an undesirable manner. The vindictive or malicious application of punishment for punishment's sake produces many undesirable side effects in follower behavior.

Not unexpectedly, the effective use of punishment has certain principles that the leader should understand. Some of these are presented below.²⁰

- The punishment should be directed at the behavior, not the follower. It is the follower's undesirable behavior or performance that prompts the leader's response. General attacks upon the follower's character such as, "You zero!" or "You're worthless!" provide no specific constructive criticism and may produce lingering, injurious effects—not to mention an uncomfortable personal relationship.
- The punishment should be rendered as soon after the undesirable behavior as possible. Delays tend to diminish the effects of the punishment and may cause confusion concerning precisely what prompted it.
- The follower should understand exactly what behavior has caused the punishment and that once the punishment is completed, the air will have been cleared, and the leader and follower will not bear a grudge.
- The punishment should be sufficiently strong to stop undesired behavior; however, it should not be excessive or unreasonable.

¹⁹ Hamner and Hamner, *op. cit.*, pp. 156-159.

²⁰ Zimbardo, G. and F.L. Ruch, *Psychology and Life*, 9th Edition (Glenview, Ill: Scott, Foresman and Company, 1977), pp.118-119.

- The follower must know the desired behavior and be able to perform it acceptably. Continued unacceptable behavior is then the choice of the follower and punishment by the leader is justified.
- The period of punishment administration should be short. This characteristic does not imply that the follower is likely to forget the well-executed punishment lesson. Indeed, this is the lesson that is most likely to be remembered.
- The leader should not allow conflicting factors and emotions to confuse the punishment process.
- Shows of support, sympathy, misgiving, or reluctance weaken the overall effects; consequently, these punishment contaminants actually do injustice to the follower because they tend to weaken the deterrent effect of the punishment.
- Withholding or denying expected reinforcement (that is, withholding an announced promotion or canceling a work holiday) could also result in a decrease of the follower's undesirable behavior. In other words, not following behavior with an expected positive reinforcer can have the same effect as following that behavior with an aversive stimulus. The term *timeout* comes from the idea of removing an individual from an environment where behavior will be followed by positive reinforcement. The effectiveness of the use of timeouts is directly linked to how highly the follower values the missed reinforcement; therefore, unless the leader knows the follower well, the effect of this strategy may not be precisely what is intended.

Punishment that is ineptly administered can cause hostility and other counterproductive results. This may be due to a number of factors, among which are the inability of the involved parties to divorce themselves from the strong emotions that surround the situation, the violation of the principles of timeliness and intensity, and an inability to control the immediate environment of the punishment act, thereby introducing any number of contaminants (e.g., third parties or unwanted observers).²¹

Douglas McGregor provides an example of simple, effective punishment in the **Hot Stove Rule**. He observes the following:

We learn quickly from nature, and we learn without serious emotional problems. If we get too close to the hot stove and accidentally touch it, the reaction is immediate. What is it about the hot stove that makes it such a good teacher? It is swift: the association between our behavior and its consequences is undeniable. It is relatively intense on the very first instance of our improper response. It is impersonal: the hot stove has nothing against us as persons and doesn't lose its temper: our behavior, our specific response, is singled out. The hot stove is unerringly consistent: regardless of who touches it or when, the result is the same. Finally, an alternative response is available: move away

²¹ *Ibid.*, p. 120.

from the stove. The point, then, is to strive to emulate nature in carrying out disciplinary measures.²²

Recall that extinction of behavior—not following a particular undesirable behavior with a reinforcement—is another contingency that theoretically can be used to reduce the frequency of undesired behavior. Extinction alone is often an impractical contingency for use in organizations; sufficient time and other resources are not usually available. Nevertheless, when employed in conjunction with reinforcement, extinction can function as a co-partner in a potent leader-controlled combination.

Group Rewards and Punishments

Until now, the focus has been upon rewarding and punishing the individual. But what of the group? Most people have experienced the strong influence of effective group reinforcement in promoting unit cohesiveness and morale. Others have witnessed the repercussions of well-intended but poorly planned group punishment.

While generally the same principles of reward and punishment apply in both individual and group cases, the latter is vastly more complicated because of the greater number of personalities involved and because of their interactions, of which the leader may or may not be aware. The basic problem is that group solutions not only apply to the group collectively but to each individual in the group. It is often difficult for even the experienced leader to predict the important effects of rewards and punishments that are applied to the group. Recall that the effectiveness of a reward or punishment depends on its relative value to the person who receives it. Therefore, the various members will regard a group reward differently. It is also unlikely that all group members performed or contributed equally. Hence, the same reward may be differentially rewarding. Nevertheless, the group is a powerful influencer of behavior. When the leader can inform the group in advance about the adverse consequence of their undesirable behavior, they may exert the internal pressure necessary to avoid the adversity, and the results can be very beneficial.²³ When the consequence is reward or punishment for individuals or subgroups within a larger body, the leader must be sensitive to the resultant perceptions of equity, fairness, and timeliness by group members who may have performed as expected, as well as those who did not. In this situation, the leader should also keep in mind that other organization members who were not involved in the performance may form their own perceptions of how the reward or punishment act was carried out. Clearly, group rewards and punishments can be effective, and they can provide relief to the hard-pressed leader who can ill afford the time to deal with multiple individual cases. At the same time, however, the leader has to be willing to sacrifice the desirability and greater precision of the individual solution.

Communicating Reward and Punishment Contingencies

The communication process carries the reinforcement or punishment message from the leader and returns feedback. As both reward and punishment messages can have far-reaching

²² McGregor, D. as quoted by W.C. Hamner and D.W. Organ in *Organizational Behavior—An Applied Psychology Approach* (Dallas: Business Publications, 1978), p. 80.

²³ Stouffer S.A. et al. as cited by S.H. Hays ed. in *Taking Command* (Harrisburg, Pa.: Stackpole Books, 1967), p. 188.

impact on the organization (recall vicarious learning), the leader must plan the communication from the follower's point of view. That is, the leader should consider how the message will be perceived and whether that perception will correspond with the intended message. For example, will strong punishment be perceived when strong punishment is intended? The leader must also be especially sensitive to feedback with regard to impact of the communication. Asking followers directly how they perceived the punishment (or reward) is appropriate.

In fairness, the leader's true expectations concerning the follower's performance should be clearly communicated. Often, a leader will unknowingly ask for the accomplishment of one goal, while making the rewards contingent upon another goal's accomplishment. To verbalize that an individual's promotion potential is based on performance while, in fact, the promotion system is based largely on favoritism, would produce unexpected and usually undesirable results. One author suggests that leaders who are displeased with the nature of followers' performances should consider "the possibility that they have installed reward systems which are paying off for behaviors other than those they are seeking."²⁴ In troubleshooting deficient follower performance, the leader should examine "what behaviors are being rewarded."²⁵ If these are not the desired behaviors, adjustments must be made.

Summary

First, if performance is desirable, reinforce it. Second, if performance is undesirable, reassess such things as the reward contingencies established in the organization. Do they actually reinforce desired behavior, or do they reinforce behaviors that are not desired? In the latter situation, the stated contingencies need to be aligned with the actual contingencies, and the follower must be provided with another opportunity to meet the leader's expectations. If actual reward contingencies equal stated reward contingencies, the leader needs to reassess performance. Is lack of performance due to inability or misunderstanding, or is it, in fact, intended as inappropriate behavior on the part of the follower? If ability is the problem, the leader needs to retrain or reeducate. If intended inappropriate behavior is the problem, punish, withhold reward, or extinguish. The final step, of course, is to reassess performance after action is taken. Then the process begins again.

More often than not, behavior is partly desirable and partly undesirable. Obviously, in this case the leader must discriminate between desired and undesired behavior, reinforcing the one and extinguishing, punishing, or reeducating the other.

Reinforcement and punishment can be powerful methods with which the leader can directly influence follower performance. Reinforcement increases the likelihood that desired performance will recur. Punishment and extinction decrease the likelihood that undesirable performance will recur. Punishment, however, is difficult to administer well, and when not well administered it can cause very undesirable side effects in followers.

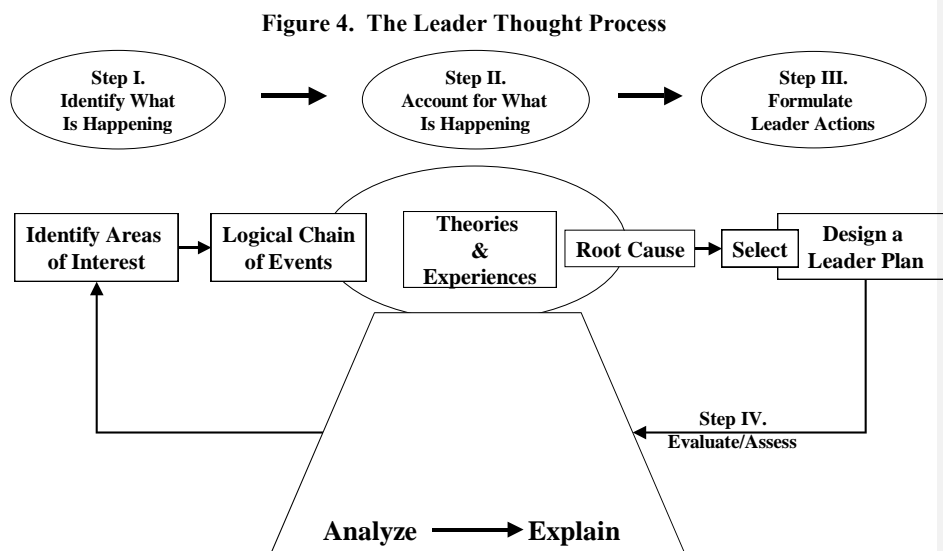
In conducting a comprehensive assessment of a potential reward/punishment contingency, the leader should ask the following:

²⁴ Kerr, S., "On the Folly of Rewarding A, While Hoping for B," *Academy of Management Journal*, 18:4, (December 1975), p. 781.

²⁵ *Ibid.*

1. What reinforcements and punishments are available?
2. What is the relative power of my resources?
3. What approach is to be used, and am I prepared to carry out this approach?
4. How can I best communicate my expectations and their contingencies to the follower?

The Leader Thought Process



Step IV. – Assess Your Leader Plan

Even the best leader plans need assessment and revision. In this final step of the Leader Thought Process, leaders design methods to measure effectiveness and evaluate whether their plan is working, making revisions as needed.

In this step leaders need to ask themselves “what information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?” By reviewing the plan you have designed, you should be able to think of methods to evaluate future effectiveness. Let us say, for example, that the leadership challenge being faced involves some crime problem (e.g., auto theft) as well as marginal performance by an employee (Officer Pamela Jones). Depending on the facts and circumstances, the *Assess* statements might include the following:

1. Review quarterly crime statistics.
2. Schedule weekly follow-up sessions with Jones for six weeks.
3. In six months, survey local community residents to see if their fear of crime has diminished.

When the leader carries out these *Assess* measures, new information will surface. Some of these revelations may be welcome news, but some may be problematic. In fact, the *Assess* step often yields new **Areas of Interest**, which return the leader to the first step of the Leader Thought Process. For example, results may indicate that “Auto theft crimes have been reduced by 10 %,” and “the community perceives a significant improvement in public safety.”

However, we may also learn that “Burglaries from motor vehicle are up 25%,” and that “Officer Jones has expressed a desire to kill herself.” Don’t these last two measures sound like **Areas of Interest**, which would compel the leader to take action? Whether these **Areas of Interest** were addressed in your original plan or not, they certainly merit leadership attention when they surface!

Experience has shown that leader problem solving is a never-ending process. If we do our jobs responsibly, we will constantly be unearthing new challenges, responding to new situations, and finding new ways to improve employee motivation, satisfaction, and performance.

Case Study

You are the Commander of Central West. Six months ago, you selected Sgt. Jason Simone to coordinate training of your command. Simone is widely respected as a tactical expert and a hard-working supervisor. He has fourteen years of field experience, numerous commendations (including the Medal of Valor) and his package is replete with “walk on water” rating reports. Since he became your training coordinator, Simone has jumped right into the job in many respects. He put on a firearms training day for all watches and is working with In-Service Training Division to develop a new non-lethal tactical course for the entire department.

During the last three months a problem has developed. A new Mobile Digital Terminal (MDT) system has been fielded. The new computer system has direct interface with the National Crime Information Center (NCIC). This allows officers to obtain criminal histories and to write their crime and arrest reports, directly from the terminals in their patrol cars.

Sergeant Simone volunteered for and successfully completed an instructor’s course on the new system, but he has not provided any training to any of the watches. Most of your officers are still writing reports by hand. This causes your Records Unit to manually process, duplicate, and mail the reports, rather than just download them via the computer network. Also, the record clerks and supervisors have complained that they can’t get their new responsibilities done, because the police officers are taking up the terminals in the station to run suspects. The detectives and the District Attorney’s office have made it clear that they are fed up with the illegible, coffee-stained reports your employees are scribbling out. During a recent audit by the Inspections Unit, your command was criticized because many officers were not using the new MDT.

Your evening watch lieutenant, Lt. James, is frustrated with the lack of progress. He confides in you: “Hey, as long as my watch keeps hand-writing reports, I’ll keep dogging them. I’m going to start writing Notices To Correct next month if they don’t get on board.”

The one bright spot is the day watch. The day watch lieutenant, Lt. Rankin, has been reporting tremendous success with the new system. Everyone says the new computer has really enhanced their performance and actually given them more time to do police work. When you talk with Lt. Rankin, he credits a sergeant named Wilcott. “Yeah, it was tough at first, because everyone wanted to stick to writing manual reports. But then, it was as if Sergeant Wilcott got mad at himself. He burned the midnight oil and really learned the new system. Then, he taught it to our officers and supervisors at roll call, and now that’s all we use. Everyone on the watch is having great success with it.” It has become clear that Central West must start using the new computer system exclusively. But how do you make that happen?

Use all four steps in the Leader Thought Process.

I. (Step I) *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) *Analyze* the situation using MTC Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

From the case, which behavior(s) is the leader attempting to increase?

Which behavior(s) is the leader trying to decrease?

What consequences presently follow the behavior(s)/Area(s) of Interest? What unpleasant stimuli, if any, precede the behavior(s)/Areas of Interest?

What models of the desired behavior(s) are available for imitation? What models of other behavior(s) have been observed and imitated?

To what extent are the employees capable of regulating their own behavior by monitoring themselves and administering their own consequences?

III. (Step II) *Explain*

What is the effect of the present consequences on the desired behavior(s)/Area(s) of Interest?

How have the consequences experienced by Sergeant Simone affected his motivation, satisfaction, and/or performance?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

Name: _____

Complete a Student Journal entry for Motivation through Consequences Theory.

Based upon your police experience, provide an example of a behavior that has been motivated or unmotivated by consequences from the leader(s). Using MTC Theory, describe the behavior of interest, tell who was performing it or not performing it, what the desired behavior(s) were, what the consequences were, and how the consequences affected the employee's motivation.

LESSON 8: MOTIVATION THROUGH JOB REDESIGN AND COGNITIVE EVALUATION

Introduction

This lesson consists of:

1. Job Redesign Theory
2. Cognitive Evaluation Theory
3. Case Study
4. Student Journal Entry

Assignment

1. **Read Course Guide**, pages [111+39-134+64](#).
2. When you solve the case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Job Redesign Theory.
 - A. **Classify** the level of growth need strength in the employee(s)/Area(s) of Interest.
 - B. **Identify** any missing core job dimensions.
 - C. **Identify** the critical psychological states that are being experienced and those that are missing.
 - D. **Describe** the personal and work outcomes.

Alternately,

- II. **Analyze** the situation using Cognitive Evaluation Theory.
 - A. **Classify**:
 1. The employee's(s') level of interest in the assigned task.
 2. The degree of challenge the task represents to the employee(s).
 3. The locus of causality with respect to the available rewards.
 4. The level of competence and self-determination with respect to the assigned task(s).
 - III. **Explain** how the missing core job dimensions affect critical psychological states experienced by the employee(s) and in turn, his or her motivation, performance, and satisfaction.

Alternately,

III. **Explain** how the competence and degree of self-determination of the employee(s) affect his or her/their motivation, satisfaction, and performance.

IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.

V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.

VI. **Assess**, evaluate, and revise your leader plan.

3) **Complete a Student Journal entry** for Job Redesign Theory.

Have you or someone you know ever been in a dull, boring, unchallenging job in policing? What about the reverse--a challenging, stimulating, motivating job, in which you were eager to do your best every day? Think of an example of either kind of job.

Motivation through Job Redesign Theory

“The supreme quality of the gifted leader is to understand not only the needs of potential followers but the way in which those needs could be activated and channeled.”

—Mao Zedong

Thus far in the course, our investigation of motivation has focused exclusively on the individual. We have examined how judgments and biases, the stages of life, the perception of fairness, the person’s expectations, and the consequences of behavior all influence an individual’s performance. In this lesson, we will examine how the job itself may contribute to an individual’s motivation to perform.

Why do some employees constantly complain about their job? Why do certain individuals call in sick when there is nothing wrong with them? Why do people fail to live up to their full potential? The answers to these questions may lie not only with the individual employees but also with some aspects of their job. Recognizing this, a reflective leader can enhance motivation, satisfaction, and performance by **Job Redesign**.

In this lesson, we discover that some people have *High Growth Needs*—they characteristically seek additional responsibility and challenge. If challenge is absent, these High Growth Need (HGN) individuals may become dissatisfied, unmotivated, and unwilling to perform well or even to attend work regularly. Recall that Dr. Albert Einstein, as a child, was considered a terrible student. He displayed disruptive behavior in class and seldom did his assigned homework lessons. Considering Einstein’s subsequent intellectual conquests and contributions, do you see a possible link between young Albert’s early failures, and his schoolmasters’ failure to recognize High Growth Needs?

Conversely, some people have *Low Growth Needs*. These are not necessarily tied to low ability. Low Growth Need (LGN) individuals merely prefer to go to work, do their jobs, and receive fair compensation. Additional challenge and responsibility have little appeal; security and comfort are much more important. Within their comfort zones, LGN employees

tend to be reliable and responsible workers. However, when burdened with excessive challenge, Low Growth Needs employees are prone to dissatisfaction and loss of motivation. These employees may fail to perform because they feel stressed out. They may even fail to attend work regularly.

Core Dimensions

Job Redesign Theory states that jobs are more or less motivating depending upon the degree to which they are designed with core job dimensions in mind. While the presence or absence of these five core job dimensions may make a job more or less motivating to HGN employees, they may, in contrast, make a job aversive to a LGN employee. The leader who wants to make a job more motivating should know the power of these core job dimensions, along with how to make them part of a job.

1. *Skill Variety*. Does a person need several different skills to do this job? Does it require too many different skills? Not enough unique skills? Does he/she possess the needed skills?
2. *Task Identity*. Does the employee perceive this job as an identifiable, doable chunk of work, with a clearly defined and tangible outcome? Does the employee understand the parameters and requirements of the job?
3. *Task Significance*. Does my employee believe this job is important to the Organization?
4. *Autonomy*. Does my employee believe he or she has freedom, latitude, and control in the job? Is there too much or too little?
5. *Feedback*. Does the employee receive regular, meaningful evaluations of his/her performance? Does this come from supervisors, peers, others, or the job itself?

Individuals with High Growth Needs are happy when the job satisfies the three critical psychological states: experienced meaningfulness of the work, experienced responsibility for the outcomes of the work, and knowledge of the actual results. It is the experience of one or more of these critical psychological states that is subjectively satisfying and that makes the job motivating to the HGN person. Skill variety, task identity, and task significance are the core job dimensions that lead to experienced meaningfulness of the work. Autonomy leads to experienced responsibility for the actual results of the work, while feedback produces knowledge of the actual results of the work. Indeed, if any of the five dimensions is absent or low, HGN individuals tend to experience fewer or none of the critical psychological states. They complain, feel frustrated, are less motivated, and perform below their capabilities.

Surprisingly to some leaders, not everyone wants a great deal of skill variety, task identity, task significance, autonomy, and feedback in their work. People who would rather not make all the decisions or carry the burden have already been identified as having Low Growth Needs. Now that you are beginning to see how Job Redesign Theory works, can you predict how LGN employees will perform if they are given too much skill variety or autonomy? What about the other Core Dimensions? Therefore, a key question for the leader to ask is, "Does this person want more (or fewer) responsibilities?" If there is any imbalance, either too much or not enough of the core dimensions to suit an individual's Growth Needs, then you may have identified a candidate for job redesign. To proceed, leaders can

investigate each of the Core Dimensions individually and then make adjustments that balance the needs of the individual with the needs of the organization.

Leader Strategies

Once you know whether an individual employee has High or Low Growth Needs, and you have a good idea of which Core Dimensions are missing or weak, you are prepared to design a leader plan of action. There are five theoretical strategies a leader can use to build up missing core dimensions. Remember, the leader only uses this theory to enhance motivation for HGN employees. LGN people do not seek or do well in enriched, intrinsically motivating job situations. They prefer routine, repetitive, unchallenging tasks and little responsibility. Do you know any LGN people? What are they like? What are you, HGN or LGN?

1. *Combining Tasks.* This strategy adds additional, parallel chores to an existing assignment. The addition of new tasks may prove helpful when a job is lacking the core dimensions of skill variety or task identity.
2. *Vertical Loading.* This strategy is similar to combining tasks because it adds new responsibilities to a worker's job. It differs, however, in that the added duties invite new challenge, supervisory responsibility, and some decision-making and creativity. Vertical loading is also known as job enrichment; it is especially effective for High Growth Need people whose current jobs lack autonomy.
3. *Forming Natural Work Units.* This is dividing or recombining the workload at its natural breakpoints in order to create meaningful chunks of responsibility. Natural work units are designed so that one worker, or one team of workers, has responsibility for an identifiable body of work (such as a truck engine), rather than random assignments (like bolting on fan blades). This strategy creates task identity and task significance.
4. *Establishing Client Relationships.* This strategy puts the employee in direct contact with the recipient of his or her goods or services, in an effort to build personal relationships. The goal is to instill a sense of responsibility, quality, and pride. This tactic often increases an employee's sense of autonomy and skill variety but can also impact feedback.
5. *Opening Feedback Channels.* Increased, honest, specific, high-quality communication between leader and follower is a vital component of this strategy. Efforts should also be made to design work that enables employees to get direct results and feedback by the accomplishment of the work itself.

What do these core job dimensions look like in police work? How would a police leader turn the theoretical leader strategies into a practical form of action?

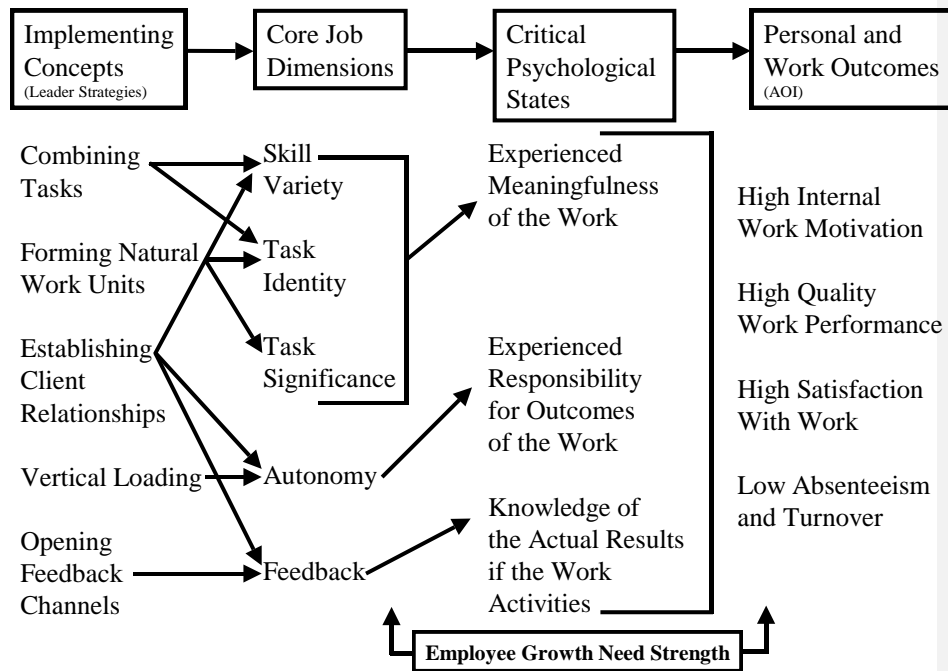
Using Job Redesign in the Police World

Fitting a job to an employee requires that the leader understand the person's growth needs. But some leaders might be tempted to say, "I don't care what his needs are; I just want him to get the job done!" True, the boss has the right and the responsibility to ensure that employees do their assigned work; Motivation through Consequences is still a valid leader option. However, if optimal performance is sought, even when the boss is not looking, then Job Redesign can be a viable addition to the leader's plan. Remember the leader is also trying to develop each employee's fullest potential and improve the organization's potential as well. Of course, it is up to the leader to determine whether the individual and the organization will benefit by redesigning a job. If faced with a whole group of LGN employees, someone would have to do the challenging tasks. On the other hand, there are only so many glory jobs for HGN people to go around. A leader must also consider Equity Theory by asking what the effect on other employees will be if they believe that a poor performer was rewarded with a good job? Leaders should take the time to analyze the total situation, design a potential leader plan, and assess the ramifications of Job Redesign before actual implementation. In essence, the leader must ask, "Do I believe a job redesign is warranted and appropriate?"

Even if the answer to this question is "yes," many leaders see little opportunity to redesign jobs in a civil service environment. After all, most police department jobs fulfill specific job descriptions; many transfers and promotions are outside the direct control of the leader.

However, Motivation through Job Redesign does not always mean a complete overhaul or replacement of duties—it can be as drastic as a whole new job or as subtle as allowing the employee more skill variety, autonomy or feedback in his or her current assignment. A High Growth Need police officer, for example, may benefit greatly from an opportunity to provide roll call training, occasionally work an X-car, or even conduct an immediate follow-up investigation on an arrest. Used alone, or in combination with the other motivational tools we have already addressed, Job Redesign has powerful potential to improve the motivation, satisfaction and performance of employees. When using Job Redesign Theory, you may find it helpful to use Figure 15 below, working back from right to left.

Figure 15. Job Redesign



COGNITIVE EVALUATION THEORY

Intrinsic Motivation

Most theories of motivation focus on the external forces that motivate people. Equity Theory and Expectancy Theory are examples of these types of motivational frameworks. Expectancy Theory, for instance, hypothesizes that an individual will be more motivated to achieve organizational goals if the leader provides a desirable reward and clarifies the link between job performance and the reward. In this case, the follower comes to understand that certain behaviors are instrumental for the attainment of specific extrinsic rewards.

Cognitive Evaluation Theory (CET) offers a different, although complimentary, view of motivation. CET proposes that when extrinsic rewards are used, people will engage in the behaviors desired by the leader only when the rewards are valued and believed to be forthcoming from the behavior. Eventually, when an individual is consistently extrinsically

rewarded for a behavior, that person begins to believe that the reward is the cause of the behavior. Thus, the *locus of causality*, or reason for the behavior, will rest in the reward itself. Unlike Expectancy and Equity Theory, however, Cognitive Evaluation Theory focuses on intrinsic motivation, where the locus of causality rests within the individual and not on some external reward.

What is intrinsic motivation? An activity is generally labeled as intrinsically motivated if there is no apparent external reward associated with the activity. An example of intrinsic motivation might be a student who decides to play computer games all night instead of studying for a history exam. Clearly, there is an extrinsic reward associated with studying for the exam (e.g., getting a good grade, failing the exam, etc.). There appears, however, to be no external reward associated with playing computer games. Therefore, it could be concluded that the student is intrinsically motivated to play computer games. If the student stops playing with the computer and starts studying for the exam, it probably could be concluded that the student was extrinsically motivated to study for the exam.

Where does intrinsic motivation come from? If you remember reading about the individual as a psychological system (IPS), our behavior is the result of the interaction of our attentional, perceptual, and cognitive systems with our environment. Intrinsic motivation, a key component of the cognitive process aspect, results from these interactions. For example, we know that childrearing practices greatly influence how basic intrinsic motivation manifests itself in the need for achievement. If a child's environment is filled with exposure to and support for any given activity, (e.g., painting, playing a musical instrument, academic achievement, etc.), the likelihood that the child will become intrinsically motivated increases. Comparable circumstances also apply to the employees that you will lead. Given the right environmental and leadership influences, they too can become intrinsically motivated to perform any number of tasks or behaviors. CET can help us explain how this is possible.

Cognitive Evaluation Theory is based on the premise that there are two needs that drive intrinsic motivation: *need for competence* and *need for self-determination*. Need for competence says that humans have a need to effect their environment. As we strive to have this effect, we garner inherent satisfaction in exercising and extending our own capabilities. CET suggests that the need for competence leads people to seek and conquer challenges that are optimal for their capacities, and that competence acquisition results from challenging stimuli.

An illustration of a need for competence might be Michael Jordan's decision to retire from basketball to play baseball. After being selected as the most valuable player in the league year after year, in addition to winning three straight NBA championships, it is possible that Jordan was not fulfilling his need for competence. As an average baseball player, he knew he would be consistently challenged attempting to play this sport. It is important to note that Jordan decided to play baseball and not become a short-order cook at Joe's Diner. This illustrates that in addition to providing an optimal challenge, an individual must have an interest in a task for it to fulfill the need for competence.

Along the same lines, a corporal who was recently placed in a patrol sergeant position might be more intrinsically motivated than a sergeant who has been a patrol sergeant for four years. The corporal sees the patrol sergeant role as an opportunity to conquer challenges that are optimal for his capabilities. In contrast, the sergeant who has held the position for years might now be more interested in the challenges associated with being a watch commander.

The second need driving intrinsic motivation is self-determination. Self-determination is an issue of choice. It is related to such concepts as volition, intentionality, and will. There

are many non-intrinsically motivated behaviors that may be competence oriented, but to be truly intrinsically motivated, a person must also feel free from pressures such as rewards or contingencies. As an example, a piano player attempting to master the playing of a difficult song is clearly fulfilling the need for competence. However, if the piano player's parents require her to learn the song before she can go out and play, she will lack freedom of choice and hence, self-determination. She might not be intrinsically motivated.

Another example might be a new lieutenant who is given the responsibility of fixing a below average night watch. The lieutenant would probably see this requirement as challenging and interesting. Therefore, this task would fulfill the need for competence. If the area commander, however, tells the lieutenant that she will be inspected in two weeks and if she fails it will have an adverse effect on her future advancement, then the lieutenant will lose her freedom of choice. She will not fulfill her need for self-determination and won't be intrinsically motivated. Relating back to a term we used earlier, her locus of causality will be external. On the other hand, if the area commander simply told her to get the job done, and that he would be available to support her in anyway possible, then her self-determination might be preserved.

Why Does This Matter?

One might argue that the locus of causality is irrelevant. Why does it matter if a person is motivated intrinsically or extrinsically, as long as they're motivated? The answer to this question is simple. If the person's locus of causality is external (i.e., they are extrinsically motivated), when the reward or punishment that is seen as the cause of the behavior is removed, the individual will stop being motivated to accomplish the task. An example of this might be a tank company commander that tells his crews that the top two crews on the upcoming tank gunnery exercise will receive a four-day pass. The commander is hoping that this reward motivates his crews to train hard. If, however, the commander fails to offer the same (if not higher) reward the next time his company has tank gunnery, his soldiers will cease to be motivated to train because the cause of their earlier motivation has been removed. In contrast, the tank company commander that is able to intrinsically motivate his crews does not have to worry about providing subsequent rewards each time he wants to motivate them for gunnery training.

Ramifications

Research on intrinsic motivation reveals several important implications for the issues discussed above. First, when an intrinsically motivated individual is subsequently provided rewards for continuing behavior, the locus of causality shifts from internal to external. Many studies were conducted in which two groups of individuals were asked to do a task that was challenging. After some time, one of the groups was told that they would now receive money for completing the task. Later, the group receiving money was told that they would no longer receive it, but they should still continue the task. Results consistently show that during the third iteration, the control group that never received money was much more motivated than the group that received money for a short period. Therefore, it would appear, based on a significant number of such experiments, that the locus of causality shifted from internal to

external for the group of people that received monetary rewards during the middle part of the experiment.

This premise has significant ramifications for leaders. One standard technique to motivate soldiers to train or accomplish a task is to offer time off, certificates, or even military awards. What the leader needs to be cognizant of, however, is that by offering rewards for intrinsically motivating tasks, the leader is shifting the locus of causality from internal to external. In other words, there is a cost to offering rewards. By shifting the locus of causality, the leader now needs to continually offer rewards if he or she expects soldiers to stay motivated.

The debilitating effect of rewards on intrinsic motivation also relates to punishment. Much support has been found for the hypothesis that threats of punishment for inadequate performance decreased subjects' intrinsic motivation, apparently by causing a change in their perceived locus of causality. Much like the example above concerning the lieutenant and the week night watch, a leader can shift the locus of causality for a challenging task from internal to external by threatening punishment.

Controlling and Information Aspects of Rewards

The above discussion strongly suggests that the use of extrinsic rewards always decreases intrinsic motivation. Cognitive Evaluation Theory actually hypothesizes differently. CET argues that if the extrinsic rewards increase an individual's sense of competence and self-determination, then the extrinsic rewards can also increase the individual's intrinsic motivation.

How can this be? Research on this topic has found that when people believe that the extrinsic reward provides information to them about their competence, the reward increases their intrinsic motivation. Therefore, from a leadership perspective, it is important to understand that as long as the person receiving a reward sees it as informational and not controlling, their intrinsic motivation will increase. As an example, suppose the training academy commander comes out to a range and yells at a sergeant because not enough of his cadets are qualifying expert. If the training academy commander then gathers the cadets together and tells them that everyone who qualifies expert will receive three days off, most cadets will see the reward as controlling, and this will decrease their intrinsic motivation (it might increase their extrinsic motivation). However, if the training academy commander, while walking down the firing line, sees a cadet shoot expert and then gives her a citation for marksmanship, the cadet will probably see the reward as informational (indicating superior performance), and her intrinsic motivation will probably increase.

Leader Actions

Assume that intrinsic motivation is more effective than extrinsic motivation. (Why should police leaders make such an assumption?). Cognitive Evaluation Theory, then, suggests several things to leaders. First, a leader should attempt to create a challenging environment. If employees are challenged, their need for self-competence will theoretically lead to intrinsic motivation. Second, once you create a challenging environment, keep it that way. Much like Michael Jordan and basketball, once an employee masters a task, his or her intrinsic motivation will begin to decrease. Third, attempt to provide positive rewards that provide

information to employees as opposed to rewards that control. Finally, avoid negative feedback and punishment. Under very few circumstances will this increase intrinsic motivation.

Conclusions

Motivation can be categorized as intrinsic or extrinsic. Clearly, if everyone in your department were intrinsically motivated to perform every task associated with accomplishing the organization's missions, life as a leader would be easy. We know, however, that this isn't the case. Cognitive Evaluation Theory teaches us a framework for understanding intrinsic motivation. As leaders, we can use this information to create environments that facilitate intrinsic motivation. CET also provides information on using rewards and punishments as a means to increase motivation. Although punishment is clearly a preferred course of action in some instances, it will most likely decrease your employee's intrinsic motivation. Rewards, however, will either increase or decrease your employee's intrinsic motivation depending on whether you use the rewards to control or inform your employees. If you use the rewards to control your employees, you need to be aware that the cost associated with this increase in extrinsic motivation is a decrease in intrinsic motivation.

Ultimately, the importance of developing intrinsic motivation may best be expressed by the demands placed on you and your employees in stressful situations. Officers will not place their lives at risk because they want medals or extra pay. They will follow orders and risk their lives for you, the unit, their fellow officers, and their community because their job requires it, they feel good about the job they are performing, and it has become the right thing to do. This is the ultimate form of intrinsic motivation.

Note: This supplemental reading is based on the work of Deci and Porac in The Hidden Costs of Rewards, eds. M. Lepper and D. Greene.

Case Study I

As a brand new lieutenant in Edward Sector, you are the day watch commander. During your first meeting with one of your sergeants, Dave Rock, he advised you that for the most part, Edward Day Watch is composed of great cops. They show up for work on time, and seem to be genuinely interested in patrol work. According to Rock, the one exception is Officer Ted Davis. Sergeant Rock explains, "I don't know what to do with him. All he does is mope around and talk about quitting the department. He also calls in sick quite a bit now. Last month he was assigned to investigate a traffic collision involving a city councilman's wife. He did such a shoddy investigation that the previous lieutenant hit the roof! Davis wound up getting a substandard, but it could easily have been a formal complaint for Neglect of Duty."

You were surprised to hear this about Officer Davis. You remembered him as a recruit five years ago when you were a sergeant at Training Division. Ted Davis had really impressed you. You thought he would be a top-notch police officer and maybe even your boss one-day. Before he joined the department, Ted had graduated cum laude from the local university with a Master's degree in Education. He taught English to sixth graders for a year and then decided he was not working up to his full potential. He wanted to do something more ambitious, so he applied for the police department and wound up graduating number one in his academy class. Before tonight, the last thing you heard about Davis was that he had entered graduate school to pursue a degree in Criminal Justice.

You decided to speak to Officer Davis. You begin by going directly to the heart of the matter. "Ted, why do you want to quit police work?"

Officer Davis appears to be taken aback. He says, "I really don't want to quit police work; I'm just not happy with what I'm doing. I've been working patrol in this division for three years now. It seems like all I do is go from call to call and take simple crime reports. And for what? Nobody reads these reports, so what difference do they make anyway? Most of them are just being filed for insurance purposes. Then, when I do get an interesting call, Sergeant Rock always seems to show up.

"I never get a chance to see a case through to its end. Sergeant Rock is always telling me 'Just take the reports and let the detectives handle the follow-up.' Especially on 'hot shot' calls, Sergeant Rock always takes over. He begins directing me to do things I have already begun to do. I'm a pretty smart guy. I think I should be able to decide the best way to handle a field situation. I never get a chance to do that." You realize that it's going to take some work to get Officer Davis fired up again. You know that you had better start soon, before you lose one of your most talented officers.

Use all four steps in the Leader Thought Process.

I. (Step I) **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) **Analyze** the situation using Job Redesign Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Classify the employee's growth needs. Are they high or low in this situation?

What are the personal and work outcomes? How has the current design of Officer Davis' job affected his motivation, satisfaction, and/or performance?

What critical psychological states are being experienced? Which are missing or low?

Which Core Dimensions are missing or low?

III. (Step II) **Explain** how the missing core job dimensions affect critical psychological states and, in turn, motivation, performance, and satisfaction.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. (Step III) **Select**: Which theoretical leader strategy(ies) would be effective in this situation?

Which leader strategy(ies) should the leader use to address the Areas of Interest in this situation?

V. (Step III) *Apply* the theoretically correct leader strategy(ies) to the situation in the form of a specific leader plan.

Address all the **Areas of Interest** you have identified and translate the theoretical leader strategies into specific actions you would take and communications that you would send to the employee(s) of interest. What will you do and say to whom, when, where, and how? What do the theoretical leader actions look like in practice?

VI. *Assess* the effectiveness of your leader plan and revise as needed.

After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, “What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?”

Case Study II

You are a lieutenant currently assigned as a watch commander in a low crime area. Senior Patrol Officer Pat Murphy, one of your best patrol officers, has been a member of your department for 23 years and an FTO for over half of his career. Most people can't understand why he never chose to take the promotion exam for detective; they think he would have made a great leader at every level of the department, even possibly as chief of police. He knows the streets better than anyone you have ever known, and you can always tell the officers he has trained because they are just like him. Whenever anyone asked him why he stayed on patrol and never chose to promote, Murphy always replied, "I just really like my work. There's something about being a beat cop and getting to know people that I just really like. And there is nothing like putting a really bad thug in jail. It's all I ever wanted to do, and this department has always let me do exactly what I wanted all these years."

Murphy's patrol sergeant, Stan Schmidt, has been on his current job for nearly a year and sometimes wishes he could have stayed on patrol like Murphy. Last night after the watch was over, you, Schmidt, and a few others had gone to the Dark Side, a favorite after-hours hangout, for a few cold ones. Schmidt complained to anyone who would listen about how much he missed being on patrol and doing investigations as a detective. "All I ever do now is fill out forms and deliver bad news to officers when they get in trouble whenever the lieutenant tells me to. There's just too much paperwork for me. And no one ever tells me if I am doing a good job anymore. I guess when you get to be a sergeant you just have to take care of yourself 'cause nobody notices you around this department. That is, until you screw up some form that the watch commander doesn't even know how to fill out. If it wasn't for the pay and being halfway to retirement, I just might be thinking about starting my own security business. But I have to put two kids through college, and they don't even appreciate what their old man is puttin' up with for their future. I'm gonna keep doing enough to keep my nose clean, but there isn't much reason for me to do much more."

You scratch your head and wonder how come Murphy works harder for less pay and no glory, while Schmidt has recently been promoted for the second time and yet, seems completely unhappy with his job. Go figure!

Use all four steps in the Leader Thought Process.

I. (Step I) *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) *Analyze* the situation using Cognitive Evaluation Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

What is the employee's level of interest in the assigned task(s)?

What level of challenge do the assigned tasks represent to Murphy? To Schmidt?

Where is the locus of causality for Murphy? For Schmidt?

What is the level of challenge and interest in the job for Murphy? For Schmidt?

What are the levels of competence and self-determination with respect to the assigned tasks for Murphy? For Schmidt?

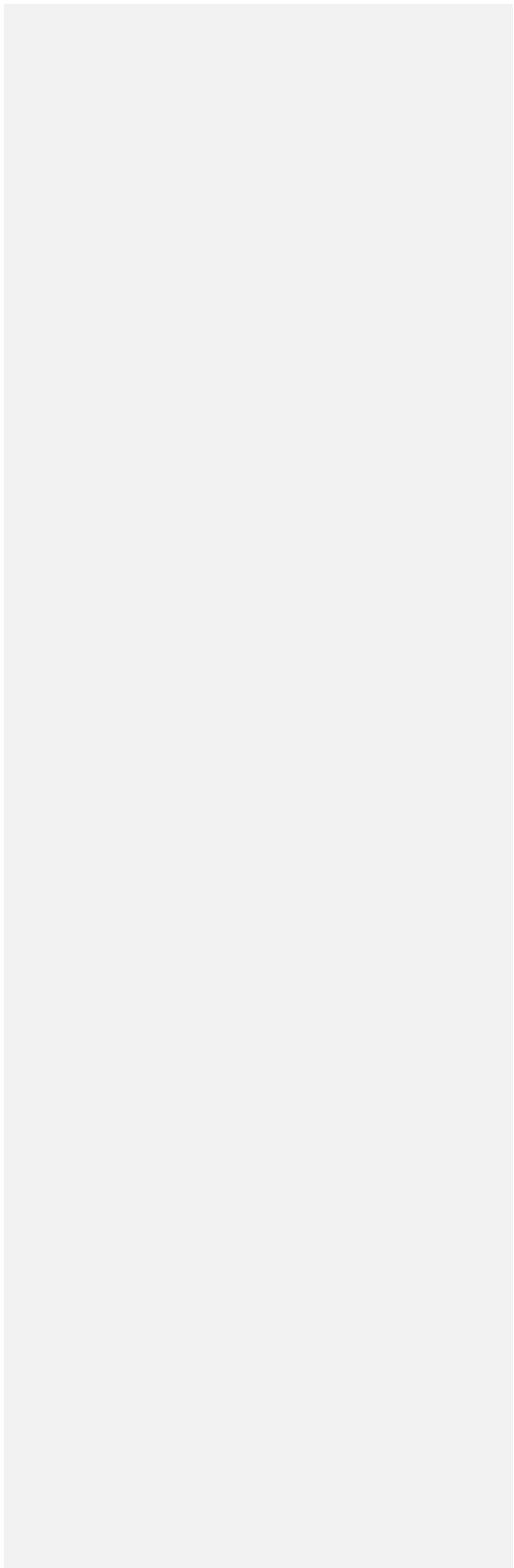
III. (Step II) **Explain** Areas of Interest in terms of how the level of competence and degree of self-determination of these individuals affects their intrinsic motivation, performance, and satisfaction with their current tasks.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. (Step III) **Select** appropriate theoretical leader strategies to address Areas of Interest.

V. (Step III) **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan to address all Areas of Interest.

Address all the **Areas of Interest** you have identified and translate the theoretical leader strategies into specific actions you would take and communications that you would send to the employee(s) of interest. What will you do and say to whom, when, where, and how? What do the theoretical leader actions look like in practice?



Name: _____

Complete a Student Journal entry for Job Redesign Theory.

Have you or someone you know ever been in a dull, boring, unchallenging job in policing? What about the reverse--a challenging, stimulating, motivating job, in which you were eager to do your best every day? Think of an example of either kind of job. Describe the person(s) who had the job in terms of his or her level of Growth Need. Then describe the job in terms of the core job dimensions that were present or missing and their effect on the critical psychological states of the person(s) who had the job. What happened to the person's motivation, performance, and satisfaction? What could the leader have done to make the job more motivating? What would you have done, if you had been the leader, to make the job more motivating using Job Redesign Theory?

LESSON 9: EFFECTIVE FOLLOWERSHIP

Introduction

This lesson consists of:

1. Effective Followership
2. Partnering
3. Leading Up
4. Case Study
5. Student Journal entry for Followership

Assignment

1. **Read Course Guide**, pages [135+65-176206](#).
2. When you solve the case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using the theories of Effective Followership and Partnering.
 - A. **Classify** the follower(s) in terms of:
 1. Quality of Thinking
 2. Active/Passive
 - B. **Classify** the follower(s) in terms of:
 1. Performance Initiative
 2. Relationship Initiative
 - III. **Explain** how followers can become leaders by Leading Up and how leaders develop followers to become leaders.
3. **Complete a Student Journal Entry** for Effective Followership.

Think of a time when you have been a follower. Classify your behavior and that of someone who was a different type of follower. How did the two follower styles affect the leader's efforts to influence others to achieve the organization's goals? What style(s) would have been more effective in helping your leader(s)?

FOLLOWERS AND FOLLOWERSHIP

Introduction

(Adapted from Richard Hughes, Robert Ginnett, and Gordon Curphy, *Leadership: Enhancing the Lesson of Leadership* (3rd ed.), New York: Irwin/McGraw-Hill, 1999, pp. 327-344.) Reprinted with permission of publisher.

Perhaps no single researcher has studied followers and followership more than Robert Kelley (1988, 1992). According to Kelley's own account, this has not been without considerable misunderstanding, if not ridicule, from others. He recounts a typical conversation from an encounter as he worked on this project while traveling as an airline passenger (1992, pp. 11-12):

- "What are you working on?" (asks a fellow passenger).
- "Followership," I say.
- "What? Run that by me again."
- "Followership—the flip side of leadership," I explain.
- "Oh, you mean the people who need to be told what to do. The sheep?"

Before we provide Kelley's rejoinder to this statement, you might ask yourself at this point, "How do I view followership?" To make the question a little more personal, ask the question this way: "What would be my reaction if my son or daughter came home and told my spouse and me that he or she had been elected the best follower in the class?" To the degree you are like many of the adults we work with in our roles helping to develop leadership, I expect the response would be less than overwhelming. To take this questioning one step further, you might even be asking yourself right now, "How did these ideas on followership even get into this book? I thought this book was about leaders and leadership." There are several reasons we feel the reader should consider these elements important in the quest for understanding leadership. First of all, there simply is no such thing as leaders without followers. It would be like trying to understand gravity without considering mass. One makes no sense without the other. Second, as we shall see, many of the characteristics of good leadership are also found in highly effective followers. **It is also the case that we serve as followers for most of our organizational lives, even when we may also be serving as leaders.**

Organizational successes and failures often get unfairly attributed to leaders, although followers may have been the true reason for successes and failure (Meindl & Ehrlich, 1987). For example, when professional sports teams are doing well or poorly, the success or failure is often unfairly attributed to the coach. Coaches are often lauded for being the key to a team's successes and are often the first to be dismissed after an abysmal season. However, a team loaded with talented players may have been successful regardless of the coach; conversely, a team with below-average players may be unsuccessful (at winning games) despite having a great coach. Thus, followers play a key role in the fate of an organization, but their contributions are often overlooked or erroneously attributed to leaders.

As we mentioned above, it is important to remember that even when one is identified as a leader, the same person often holds a complementary follower role. Almost all leaders

answer to someone else; school coaches answer to athletic directors; principals answer to school superintendents, who in turn answer to school board members; managers answer to directors, who answer to vice presidents, who answer to presidents; colonels answer to generals, and so on.

Most individuals will spend more time as followers than as leaders, and it is not at all uncommon to switch between being a leader and being a follower several times over the course of a day. In fact, our research on high performance teams has shown us that in the most successful teams, there is a great deal of role switching among the “followers” concerning who is serving a leadership role at any given time.

Unfortunately, the follower role has been studied very little. Research efforts have focused instead on the characteristics associated with individuals in leadership roles; relatively little research has looked at what makes successful followers. Moreover, there does not appear to be a perfect and direct relationship between good followership and good leadership. Not all good leaders were necessarily good followers, and not all good followers become good leaders. The Center for Creative Leadership has used the term *derailment* to describe what happens to individuals who eventually fail as leaders despite performing well for a long time in followership and junior leadership roles (McCall & Lombardo, 1983). It might be that such individuals fail to reflect sufficiently on their followership experiences and on the potential lessons for their own development.

In sum, because leadership is not a one-way street, and because most individuals are both leaders and followers, this chapter examines the leadership process by focusing on followers. More specifically, this chapter looks at followers from a number of different perspectives: the influence relationships between leaders and followers; effects of followers’ individual characteristics on leadership; follower styles, and partnering.

Followership Styles

Recall the opening dialogue in this chapter between Robert Kelley and a fellow airline passenger. The closing line by the traveler was, “Oh, you mean the people who need to be told what to do. The sheep?” Here now is Kelley’s reply:

No, I mean the people who know what to do without being told—the people who act with intelligence, independence, courage, and a strong sense of ethics. I’m interested in what separates exemplary followers from those who perpetuate the negative stereotypes. I believe the value of followers to any organization is enormous.

With that sense of the value of followers, Kelley has studied followership not as the antithesis of leadership but rather with the view that followers are *collaborators* with leaders in the work of organizations.

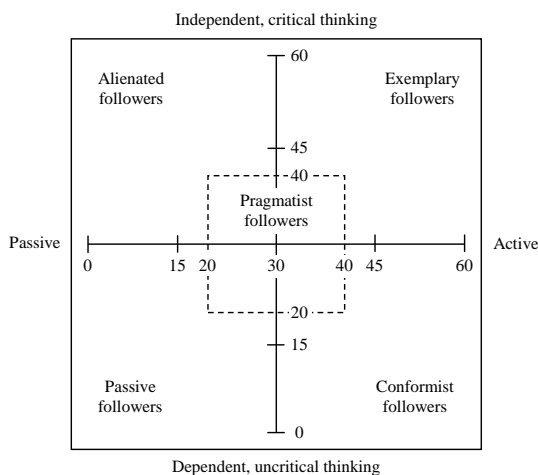
Just as the Ohio State University leadership studies categorized leader behaviors into two broad dimensions, it may also be possible to categorize follower behaviors or styles using a two-dimensional taxonomy. Kelly (1992) derived these two dimensions not by culling the journals of academic research but rather by interviewing leaders and followers. One of these dimensions ranges from **independent, critical thinking** at one end to **dependent, uncritical thinking** on the other end. “The best followers are individuals who

‘think for themselves,’ give constructive criticism,’ ‘are their own person,’ and are ‘innovative and creative.’ At the other end of the spectrum, the worst followers ‘must be told what to do,’ ‘can’t make it to the bathroom on their own,’ and ‘don’t think.’ In between are the typical followers, who ‘take direction’ and ‘don’t challenge leader or group’” (p. 93). But independent critical thinking is not enough to capture all of what highly effective followers do.

Kelley’s second dimension refers to a follower’s degree of active engagement in work. This dimension ranges from **active** to **passive**. According to Kelley, “the best followers ‘take initiative,’ ‘assume ownership,’ ‘participate actively,’ ‘are self-starters,’ and ‘go above and beyond the job.’ The worst ones are ‘passive,’ ‘lazy,’ ‘need prodding,’ ‘require constant supervision,’ and ‘dodge responsibility.’ In between these extremes are the typical followers who ‘get the job done without supervision after being told what to do,’ ‘CYA,’ and ‘shift with the wind’” (p. 94).

Moreover, because behavior tends to be consistent over time, Kelley (1988, 1992) believed it was possible to use his two-dimensional taxonomy to categorize people as one of five styles of followers (see Figure 16). We will discuss each of these styles separately and will conclude with the ideal or exemplary follower.

Figure 16. Followership Styles²⁶



²⁶ Figure from Robert E. Kelley, *The Power of Followership* (New York: Doubleday, 1992). © 1992 by Consultants to Executives and Organizations, Ltd. Used by permission of Doubleday, a division of Bantam-Doubleday-Dell, Inc.

Alienated Followers

Alienated followers are like festering wounds in their organizations; they are continuing sore spots who are more than happy to point out all the negative aspects of organizational goals, policies, and procedures—and overlook the positive aspects. Kelley says this style is seen in 15 to 25 percent of followers, individuals known to be capable but cynical; frequently holding back their own best efforts, or perhaps displaying disgruntled acquiescence. Interestingly, their own self-image often differs significantly from their image as seen from their leader's perspective. Alienated followers often describe themselves as “mavericks who think for themselves,” “having a healthy skepticism,” or even as “being the true conscience of the organization.” Leaders often see the alienated follower as “troublesome, cynical, negative, headstrong but lacking judgment,” “not a team player,” or even “adversarial to the point of being hostile.” Kelley believes that alienated followers tend to be former exemplary followers who became disgruntled over setbacks or obstacles, so the move to being exemplary followers again may depend much on their own self-examination and reducing their level of negativity through constructive problem solving.

Conformist Followers

Conformist followers are the “yes people” of organizations. They are the active followers who readily carry out orders uncritically. These followers, while very active at doing the organization's work, can be dangerous if their orders contradict societal standards of behavior or organizational policy. Their problem is that they do not critically evaluate the orders they have been given. Historically, this follower style has been associated with horrible events in war. The followers of Lt. William Calley in the Vietnam massacre at My Lai and the Nazi functionaries in World War II concentration camps whose work contributed to the murder of millions of Jews exemplify this pattern. More recently, Oliver North displayed this pattern in his role as a follower when he stated during the Reagan-era Iran Contra hearings that he “was not in the habit of questioning his superiors.” Often this style is the result of either the demanding and authoritarian style of the leader or the overly rigid structure of the organization. These considerations will be discussed in more detail in subsequent chapters. It may be the case that many of the 20 to 30 percent of followers who behave according to this style have a personality predisposition to be obsequious and self-deprecating or averse to conflict. As with the alienated follower described above, the conformist follower already possesses one of the valued dimensions of the exemplary follower (albeit the mirror image of the alienated follower). The conformist is already an active participant who is seen as a committed contributor. Conformists also need to recognize, however, that the organization needs their critical views as well. Making this transition will require them to begin to critically evaluate others' ideas (including the leader's), and to gain confidence in their own viewpoints.

Pragmatist Followers

Pragmatist followers are followers who are rarely committed to work-group goals but have learned not to make waves. Because they do not like to stick out, these pragmatists, or survivors, tend to be mediocre performers and clog the arteries of many organizations. Pragmatists, who Kelley said comprise between 25 to 35 percent of the follower force, are those who keep to the center of the road. Because it can be difficult to discern just where they

stand on issues, they present an ambiguous image with both positive and negative characteristics. On the positive side, they are sometimes seen as “keeping things in perspective,” “knowing how to work the system to get things done,” “toeing the middle line so as to keep the organization from going overboard in either direction,” or “playing by the rules of the game.” Unfortunately, these same behaviors can be interpreted as “playing political games,” “bargaining to maximize your own self interest,” “being averse to risk and prone to cover your tracks,” and “being a bureaucrat who adheres to the letter of the rule rather than the spirit” (Kelley, 1992, p. 116).

Like the other styles, the pragmatist follower may adopt this style as a result of organizational conditions, personal preferences, or some combination of the two. It can be a survivor mode adopted as a coping mechanism in order to “ride out the storm” in an unstable or particularly turbulent organizational environment. Pragmatist followers may become so comfortable in that survivor mode, however, that they remain in that mode even after the storm has passed. Another possibility is that pragmatists are simply averse to taking any risks. A pragmatist may be capable of doing a good job, but be unwilling to do so if it requires him to stick his own neck out. Avoiding failure may be more important than any possible gain from success. In organizational settings, pragmatists may become experts in mastering the bureaucratic rules which can be used to protect them. If they must initiate an action, for example, they may not move until they have signatures from everybody on the “coordination sheet.” Pragmatist followers are “stuck in the middle,” and to change must decide whether mere organizational survival is sufficiently fulfilling for them. In times of crisis, the answer may well be yes. In more munificent times, however, that may not be enough. If the pragmatist chooses to seek more than organizational survival, he must be willing to stretch along both dimensions of effective followership.

Passive Followers

According to Kelley, only 5 to 10 percent of all followers fall into the style of **passive follower**. These followers display none of the characteristics of the exemplary follower. They “look to the leader to do their thinking, and they do not carry out their assignments with enthusiasm. Lacking in initiative and a sense of responsibility, they require constant direction when performing the tasks given them and never venture beyond their assignment” (Kelley, 1992, p. 122). Leaders often see passive followership to be the result of the personality of the follower in that role. They see them as lazy, incompetent, unmotivated, or stupid. While there may be some passive followers who do indeed possess these characteristics, there are likely to be an even greater number who have adopted this style to help them cope with a leader who expects followers to behave that way. Our own research looking at teams has found that team members often behave the way they do in response to the leader and other conditions, not because they are passive by nature. In order to improve their effectiveness, passive followers need to change significantly on both dimensions of effective followership, just as pragmatist followers do. They may be served best by leaving the organization.

Exemplary Followers

As opposed to the other styles of followers who present different images depending upon the perspective (e.g., self, leader, co-workers, etc.), the **exemplary follower** seems to present a consistent picture to all who come in contact with him or her. Exemplary followers are seen by co-workers and leaders as independent, innovative, creative, and willing to stand up to

superiors. They apply their talents for the benefit of the organization even when confronted with bureaucratic stumbling blocks or passive or pragmatist co-workers. Effective leaders appreciate the value of exemplary followers. When one of the authors was serving in a follower role in a staff position, he was introduced by his leader to a conference as “my favorite subordinate because he’s a loyal No-man.” This type of description of exemplary followers is not uncommon. Kelley quoted Michael Eisner, the CEO of Walt Disney Co., in describing one of his best followers: “[He] is a great devil’s advocate. I mean, he will ask the questions nobody ever thought of, and he will take the opposite side of everything. But he is a deal maker, not a deal breaker and that’s very unique” (Kelley, 1992, p. 128). Exemplary followers—high on both critical dimensions of followership—are critical to organizational success. Leaders, therefore, would be well advised to select people who have these characteristics, *and perhaps even more importantly*, to create the conditions that encourage these behaviors.

Kelley noted one other critical benefit to be gained from exemplary followers. They know how to get along with their co-workers and leaders in ways that benefit the organization. Kelley used the analogy of the commons to illustrate this ability. While the term *commons* is familiar to many college students, Kelley (1992, p. 149) described its origins in a sense that adds meaning to organizational settings as well as college campuses:

Unlike followers who consistently try to maximize only their own self-interest, the best followers view the organization as a “commons.” The term “commons” dates back to pre-industrial England. It refers to the pasture that townspeople shared in “common” with each other for grazing their livestock. The challenge facing the community was to enable everyone to feed their livestock without degrading the commons for future grazing. If one family maximized their feeding at the expense of the community, they gained in the short run. But if everyone followed suit, all the grass would get eaten, destroying the commons for everyone. For all to benefit, each family had to contribute to maintaining the commons by keeping their selfishness in check.

The best followers treat the organization as a commons. Instead of taking a free ride at the organization’s expense or focusing solely on their rights, they acknowledge the mutual responsibilities they have with others. Organizational life requires give-and-take if it is going to work. If you are going to drink from the organizational well, you must also help replenish it.

Partnering

Since followership is still such a new field of study, it seems appropriate to include mention of some promising work in progress by a team of researchers (Potter, Rosenbach, & Pittman, 1996; Rosenbach, Pittman, & Potter, 1997; Pittman, Rosenbach & Potter, 1998). These researchers are focusing on an issue they call **partnering**, dealing with the quality of *relationships* between leaders and followers rather than on characteristics of leaders and followers per se. In interviews with effective leaders and followers they have found that the best relationships feel like partnerships. As with any effective partnerships, both partners recognize that they can only be successful in the long term if they share success. Each is

flexible and willing to switch between the roles of leader and follower, performing the role that best facilitates achieving the goals of the group or organization.

Rosenbach, Pittman, and Potter began their work making two key assumptions. The first was that followers do not work with an intent to fail—that all workers who *can* survive in the workplace give what they believe will be at least enough effort to keep their jobs. Second, the researchers assumed that leaders do not intend to purposefully alienate the people on whom they depend for their success. Nonetheless, experience and prevailing wisdom have seldom taught followers that anyone who takes the personal initiative to strengthen a relationship with a boss will be more effective. In fact, efforts to build an effective relationship with the boss are more often understood by both parties as ingratiating and advantage-seeking rather than as a sincere effort to build an effective partnership. Consequently, the research team has begun work on an instrument to help followers and leaders develop better partnerships.

Like Kelley's work, the work of this team has developed around these two dimensions: a commitment to high performance and a commitment to develop effective relationships with their partners. Taken together these two dimensions, **performance initiative** and **relationship initiative**, define four types of followers who are familiar to students of the workplace: the **subordinate**, the **valued contributor**, the **politician**, and the **partner**.

The subordinate is the “traditional” follower who does what he or she is told. The subordinate keeps a job and may rise in a seniority-driven organization but demonstrates neither a sensitivity to relationships nor a commitment to high performances. They share much in common with Kelley's “passive follower.” The valued contributor behaves in an exemplary way—one who works hard and is known for the quality of her work. Although this person is thorough and creative in obtaining the resources, information, and skills that are needed to do the job, the interpersonal dynamics of the workplace are not of a primary concern. The politician pays more attention to managing relationships than to maximizing performance. This person possesses valuable interpersonal qualities that are often misdirected or misunderstood. Followers such as these are unusually sensitive to interpersonal dynamics and are valuable for their ability to contribute when interpersonal difficulties have arisen or might arise. They can provide valuable assistance to the leader because they are willing and able to give insights into group relationships. However, often these followers neglect the defined aspects of their jobs in favor of the more relationship-oriented or political aspects of their relationship with the boss. This is a particular problem when others rely on them for job performance. The partner is committed to high performance and effective relationships. In fact, the energy given to the development of relationships serves the purpose of gaining the kind of understanding that leads to plans and actions that anticipate new directions and contributions that serve unmet goals.

A significant contribution has also been made by Rosenbach, Pittman and Potter in the instrument they developed to assess these two dimensions. Their **Performance and Relationship Questionnaire (PRQ)** (Rosenbach, Pittman & Potter, 1997) allows followers not only to assess their style as described above but also to assess four critical components of each of the two dimensions. The performance initiative considers the extent to which the follower thinks of ways to get his or her assigned job done (**doing the job**), the extent to which the follower treats himself or herself as a valuable resource (**self as resource**), how well the follower works with co-workers (**working with others**), and what view the follower

takes toward organizational and environmental change (**embracing change**). Similarly, the relationship initiative considers the extent to which the followers understand and identify with the leader's vision for the organization (**identifying with the leader**), the extent to which the follower actively tries to engender mutual trust with the leader (**building trust**), the extent to which the follower is willing to communicate in a courageous fashion with the leader (**courageous communication**), and how actively the follower works to negotiate differences with the leader (**negotiating differences**).

Finally, Rosenbach, Pittman, & Potter (1998) remind us that while their instrument is quite effective at assessing the follower style currently exhibited, it does not specify the reasons for that style. In order to understand the reasons why a particular follower style is being exhibited, they write, one must "think about the followers, leadership styles, and organizational culture together"—as we have noted in the unifying framework throughout this book.

HIGHLIGHT

Followership in High Performing Teams

What distinguishes high-performing teams and organizations from more-commonplace ones? That is a question the U.S. Navy has explored for many years with the assistance of McBer and Company, a management consulting firm (Whiteside, 1985).

A simple answer to the question is that good organizations have good leaders and good followers. Just a collection of superstars, however, is not enough. This became clear after the McBer researchers conducted more than 750 interviews with ship captains and crews, administered and analyzed surveys, and examined records from numerous different sorts of ships, from aircraft carriers to submarines. They found that what set ships with truly outstanding records of performance apart from others had a lot to do with how the followers on any given ship functioned as a group.

One particularly important group of followers on any navy ship is its young officers. They have significant responsibility but also can include some of the youngest and least-experienced individuals on the entire ship. It is important to bear in mind that the navy's personnel assignment policies tended to equalize the talent among young officers across the different ships. On an individual-by-individual basis, then, one ship could not be judged much better than another, yet some clearly performed much better than the others. The following are some characteristics that distinguished followers on top-performing ships from their cohorts on more average ones:

Cohesion. The young officers on the best ships worked as a team. They interacted a lot in accomplishing their varied tasks, and they also interacted on a personal basis. Although they were not necessarily all friends, they worked effectively despite differences, and they appreciated each other's strengths. They conveyed positive expectations about each other even in the midst of a competitive system of career advancement. Among average units, on the other hand, there was more dysfunctional competition and much less mutual support. There was less communication and less coordination.

Supporting Top Leadership. On the best-performing ships, the young officers adapted to and matched the leadership objectives and style of the ship's captain. They knew and enthusiastically supported the captain's goals and philosophy, showing none of the open criticism found among young officers on more mediocre ships. The best ships were characterized by congruence of leadership at all levels.

Raising Issues with Top Leadership. The superior ships were characterized by a willingness among subordinates to ask questions, raise concerns, and bring both good and bad news to their superiors.

Taking Initiative. On the best ships, younger officers would take the initiative to do what was necessary without being told, including extra work beyond their normally assigned duties. They also looked for better ways to accomplish their work. On more-average ships, the younger officers tended to be satisfied with just doing their own specific jobs and with the status quo; they were resistant to change and to risk.

Taking Personal Responsibility for Team Performance. On the best ships, the young officers felt a personal responsibility for the performance of their respective work groups.

HIGHLIGHT

Meditation on Followership

Ira Chaleff, in his book *The Courageous Follower*, offers the following meditation on followership:

For me, becoming a courageous follower, like becoming a good human being, is both a daily and a life-long task. Visualizing a desired state helps to realize it. I share this meditation as one visualization of the state I aspire to. You may want to refer to it from time to time.

I am a steward of this group and share responsibility for its success.

I am responsible for adhering to the highest values I can envision.

I am responsible for my successes and failures and for continuing to learn from them.

I am responsible for the attractive and unattractive parts of who I am.

I can empathize with others who are also imperfect.

As an adult, I can relate on a peer basis to other adults who are the group's formal leaders.

I can support leaders and counsel them, and receive support and counsel from them.

Our common purpose is our best guide.

I have the power to help leaders use their power wisely and effectively.

If leaders abuse power, I can help them change their behavior.

If I abuse power, I can learn from others and change my behavior.

If abusive leaders do not change their behavior, I can and will withdraw my support.

By staying true to my values, I can serve others well and fulfill my potential.

Thousands of courageous acts by followers can, one by one, improve the world.

Courage always exists in the present. What can I do today?²⁷

²⁷ Reprinted with permission of the publisher. From *The Courageous Follower*, copyright 1995 by I. Chaleff, Berrett-Koehler Publishers, Inc., San Francisco, CA. All rights reserved.

DYNAMIC SUBORDINANCY

William J. Crockett

From *Training and Development Journal*, May, 1981, American Society for Training and Development. Reprinted with permission of the publisher.

We can teach people to become dynamic subordinates, and it's time that we started!

Our organizations are filled with subordinates, but few of us get much basic survival training for that role, not to mention training on how we might make those roles dynamic, synergistic and satisfying. But we spend a lot of time helping people to learn how to be effective leaders and in learning how to fulfill their leadership roles. I believe that it's important for our organizations to start giving some attention to the development of the concept and role of followership, because leadership is but one strand in the complex web of human relationships that holds our organizations together.

Traditionally we have accepted the assumption that it's primarily the boss's job and responsibility to cause the work group to function well—and to take care of the people needs of subordinates so that the group is turned on and productive. Bosses have borne the chief responsibility in the past for the vitality of their relationships with the subordinates, and for the quantity and quality of their work.

But the successful and effective boss/subordinate relationship not only demands some things of bosses, it also demands some things of followers as well. Therefore, subordinates can and should be more than passive robots to be manipulated and used by bosses. They have the responsibility—as well as the opportunity—for making the situation a good one, win/win for themselves as well as for the boss.

Another very pragmatic reason for our wishing to achieve excellence in followership is that we often get rewarded or punished as a result of our “followership” effectiveness. Our success in effectively filling our subordinancy roles is the key to our here-and-now security as well as to our future promotion and success. People get fired because they are ineffective subordinates. From this standpoint alone, the vitality and worth of the relationship is more important to the subordinate than it is to the boss—because it is the subordinate who has the most at stake!

There are three overlapping areas or ways for looking at our followership role and for mapping strategies for making that role more fulfilling to us, as well as more effective.

The first of these areas is the job itself. This includes how well we understand its mission and its accountabilities as well as its opportunities and the skills and attitudes this requires of us.

The second way of looking at our jobs is in terms of our relationships and, most especially, our relationship with our bosses.

The third area for review is our own feelings about our jobs, our bosses, and ourselves. Just what is our trust level and what can we do to improve it?

This article deals with each of these three areas and helps us to think through where we stand in each. It helps us to find the means of taking charge of our work lives rather than passively accepting what comes our way.

Finally, it also helps us to formulate an action plan for doing something about each of these three areas, for it is only by taking action that we can start to become more dynamic in our followership.

The Job Itself

Being a subordinate is very much like being a steward, i.e. assuming the responsibility for the well-being of something that belongs to another. Like the Biblical story of the good and bad stewards (Matthew 25: 14-30), the stewardship role is not fulfilled when it is just passively done. The good steward is dynamic and risk-taking in attending to the work that he has been given to do.

However, in order for us to be dynamic and risk-taking in our jobs, we must work through some things for ourselves and then with our bosses. To risk blindly is the action of a foolish person, and it courts ruin as well as success. The dynamism I am talking about is that which has a high chance of ending with success for the subordinate as well as for the boss—a win/win situation for both.

In order for us to be genuinely dynamo, we must have a strong launch pad of basic understanding about the job and our boss on which to base our actions. There are three ingredients that make up this basic launch pad. These are:

1. Know What the Job Is

In a survey, a group of top-level businesspeople failed to agree upon the exact acts of subordinancy that would insure the success of their subordinates. But they did agree upon the point that the subordinate must know precisely what it is that his/her boss expects! Doing a number of things well will not suffice if the boss doesn't care about those things. Therefore, no amount of effort in these areas will make the subordinate succeed if he/she fails to perform well in the one or two things that the boss holds dear.

Another area of potential misunderstanding around the job comes from ambiguity about the job itself. The more ambiguity there is in a job, the greater the danger in terms of the subordinate's not delivering what the boss really expects. The initiation of discussions with the boss about expectations for the tasks and responsibilities of the job is one of the first and most important responsibilities (and opportunities) of a subordinate.

It is absolutely essential that the critical success factors of the task, i.e. the boss's expectations, be known and understood by the subordinate. It is far too easy to overlook them in the first place, or to push them out of focus due to the multiplicity of non-essential tasks and loadings that the job (the subordinate) has acquired. The subordinates have the best opportunity to know these loadings because they have the first-hand data. Therefore, it is the subordinate's responsibility to initiate discussions with the boss to surface expectations about the job: its accountabilities, its goals, its content, its priorities, its methodology, its standards, etc. Boss/subordinate discussions around the context and meanings of the subordinate's job, when they are initiated by the subordinate's genuine concern for the boss and his/her best interest

rather than from the subordinate's dissatisfaction, can be a dynamic and exhilarating experience for a subordinate. If subordinates will take the pains to be objective in documenting their case, and if they will present it in a genuine concern for the boss, then the subsequent discussion can be free from emotion, tension and acrimony.

One important piece of self-research we can do is to develop data about the job:

- a. The accountabilities...what end results am I accountable for?
- b. The critical accountabilities...the ones that have the most leverage if accomplished and those that have the most risk if not accomplished.
- c. The ways I now spend my time and how that relates to No. 1 and No. 2 above.

2. Know How to Do the Job

The value that the boss places upon a subordinate is in relationship to how well the subordinate enhances the effectiveness of the boss's domain—how well the job is done. The short-sighted subordinate will conceive it to be the boss's responsibility to discover deficiencies, for training, to promote, to look after his/her career, and to help in the subordinate's success. And of course bosses do have some of these responsibilities.

One unyielding requirement for us if we are to be successful subordinates is that we can objectively look at ourselves and our skills in relation to the skills that the job requires. If we can do this, and can see our own deficiencies, then we can, through training and development, acquire the needed skills. This aggressive self-examination of our needs and our taking charge of our own self-improvement is another way dynamic subordinates distinguish themselves from their more passive colleagues.

Dynamic subordinates don't wait. They soon take on that responsibility for their own professional development. They don't own their territory, for their boss can fire them at will. But the one thing that all subordinates do own, and which no one can take away, is their expertise—their professionalism. This is the most personal, most valuable, and most absolute territory a person can have. No one can hold capable people back. Their professionalism and talents will become known, will be needed, and will be requested—if not by their boss, then by others.

The wise subordinate is the learning, developing, experience-seeking person who becomes independent because he/she is a professional! The wise subordinate never uses the maddening excuse—"That isn't my job," but will seize upon every opportunity for learning something new and having a new experience.

3. Do the Job

The end product that a boss expects from a subordinate is a job well done—whatever it is that well done means to the boss. A subordinate succeeds, gets rewarded, and receives accolades and promotions based mostly upon successful fulfillment of his/her here-and-now duties.

Do the job! That's what the boss expects and that's what we are receiving our pay as subordinates to do. That's what will lead us to success in the future.

It is said that there are three requirements for successful followership, i.e. for getting the job done. These are:

- knowing *what* the job is
- knowing *how* to do the job
- *doing* the job.

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Knowing what the job is and having the required skills to do it with will not get the job done if the person is not motivated to do it with zest. One of the most powerful, drags to productivity in America is lack of motivation.

To become de-motivated is the emotional result of all that we see happening to us in the work place. When we are de-motivated we don't care whether or not we do the job or whether we do it well or badly. Or maybe we are so turned off and angry that our hidden objective is to really punish the organization and our boss! If we are in this frame of mind, then we have but two logical choices:

- a. to pull ourselves out of this pit and rekindle our positive drive, or
- b. to leave.

For the inevitable consequence of our staying in this negative frame of mind is sooner or later to be fired.

One plan of dynamic action that I can suggest for us if we are in this state is to make an objective (it's hard to be objective now) analysis of our entire situation:

- a. search for and identify all of the negative emotional producers;
- b. search for and identify the positive emotional producers (there will surely be some of these);
- c. carefully analyze and examine the impact of each of these negatives and positives upon us;
- d. think through ways that we can unhook ourselves from our participation in the negative producers;
- e. think of ways that we can create other positive producers and enhance those that now exist; and
- f. make a plan of action.

This whole analysis ideally should be shared with a trusted friend who will tell us honestly what his/her reactions are and not just what we would like to hear.

Another potential reason for our demotivation may be our feeling that we have been given little or no freedom by our boss to get our job done. Freedom of action in getting our job done has these components:

- free to determine the substance (the what)
- free to determine the timing of when things will be done (the when)
- free to determine how the job will be done (the how)
- free to determine who will be responsible for doing the job (the who)
- free to determine the cost of doing it (the cost).

Sometimes bosses just don't give their subordinates enough freedom to enable them to feel worthwhile, trusted, and turned on.

We can analyze each of our major accountabilities on the preceding five dimensions to get an objective evaluation of our freedom. If our analysis demonstrates to us that we aren't being given enough freedom around an accountability, or on one or more of the above dimensions, we then have objective data to take to our boss for discussion. If this is the case, we need to carefully devise an action plan of how we will confront the boss as well as what we plan to confront him/her with.

The possibility exists that we subordinates can badly misread the realities about us and thereby we may have actively created our own demotivation out of nothing more than our own misperceptions. If this is the case, we'll need a *personal* action plan. On

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the other hand, of course, the possibility also exists that our analysis and our subsequent discussions with our boss only serve to confirm our worst fears and suspicions...the situation is a lost cause! If this is the case, then it will require a different kind of an action plan from us—a plan to leave!

One of the key dimensions to dynamic subordinancy is the psychological willingness and the professional capability of the subordinate to be independent of the boss and the job whenever I, the subordinate, want the end to come. When I find myself depressed and demotivated and I have done all that I could to change the conditions causing this, then it's time to think about leaving. When it becomes apparent to me that I can't respect my boss, don't approve of my boss, can't trust my boss, again, it's time to think about leaving. When I find myself wanting to punish my boss, feeling that I must compete with my boss, and am moved to badmouth and belittle my boss, then it's far past time for me to move on. To stay under such conditions is to prostitute myself for money with little sense of commitment and loyalty. To stay is to lose my self-respect as a human being. To stay is to eventually fail.

Perhaps our willingness to leave a situation whenever it no longer meets our needs, fulfills our values, turns us on, or challenges our expertise, is the most important single measure for insuring that we remain dynamic as a subordinate. This is the key to our own freedom and to our self-esteem.

Boss-Subordinate Relationships

Everyone knows that there is a lot more involved in a job than just getting the job done, no matter how well we do it from a substantive point of view. One critical factor for success in any job is the quality of the relationship we have been able to create with our boss.

This relationship, like all relationships, is a mutual responsibility to develop and to nourish. But since it has so much significance for the future growth and success of the subordinate, we must go to extra lengths to try to cause the relationship to become a good one. Some of the things we can do are:

1. Challenge

We must obey the legal demands of our bosses, but in doing so we do not have to lose our self-esteem nor take on the hangdog pose of the servant. We can become the trusted adviser to whom the boss comes to get the straight dope. No one, not even our boss, can be completely infallible. Humans at all levels will make mistakes occasionally. Most managers are thinly spread over wide stretches of important and diverse activities. As a result, they can be caught in trivial errors that take on more importance than they have in real substance. Wise subordinates will be alert to ways that they can rescue their boss from mistakes of commission and omission.

Most good bosses don't like subservience and don't trust "yes" people. Most bosses want subordinates who will challenge their ideas, differ with their decisions, give them data, put forward new ideas for doing things, and who will care to be uniquely themselves. But to get away with this kind of behavior requires that the subordinate come from a base of absolute trust and not from competitive counter dependency. To gain this preferred role, a subordinate must have:

- Demonstrated absolute personal respect and loyalty to the boss in other situations.
- Gained the boss's admiration and respect for his/her professionalism, for the accuracy of his/her data, for the timeliness of his/her reports, and for his/her emotional maturity.
- Never publicly played win/lose games at the boss's expense.
- Gotten the boss's job done to the boss's expectations when the decision was finally made.

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The role of loyal opposition or devil's advocate is an important one for all subordinates to learn—if they can also learn to use it from a solid base of trust. They must learn, when practicing it, to come across as caring rather than punishing, collaborative rather than competitive, probing rather than judging.

The way this is done—how it is done—is often far more important than what the substance is.

2. Inform

Closely associated with the concept of subordinancy is the irksome chore of accounting for our activities. Like obedience, most of us stopped accounting to anyone when we left home. And now that we are at work, we must once more account to someone—our hierarchic superiors.

The reason for this accountability to the boss is that no subordinate, no matter if his/her title is dishwasher or president, has final accountability. We are not the full owner of the territory that we occupy. We may feel like an entrepreneur, act like a king, and be a saint. But in the final analysis, we are but a steward in the "master's vineyard."

Through the process of delegation, each subordinate is given a job to do by the boss. Some bosses tell their subordinates little, and others tell them much—how, when, who, where, why, how much, how often, how deep, how wide, etc. But in the end, every subordinate must account to the leader for his/her stewardship of what was done with the thing the boss assigned. It is the subordinate's duty to give and the boss's right to request this accounting.

It is the boss's territory. It is the boss's right to know. The boss must be told because he/she is also a subordinate to another boss who is also looking for that same accountability. And so it works, forever upward! The effective subordinate will fully and cheerfully perform this function of accountability. This, in reality, gives the subordinate a chance to put the boss at ease and create the first stirrings of trust.

A subordinate who, for whatever reason, elects *not* to account to the boss fully and honestly, can't win. Such actions on the part of the subordinate as withholding information, diverting data, giving half-truths, forgetting, falsely telling, etc., whatever the excuse or rationale, are examples of no-win non-professional subordinancy. The system doesn't condone such subordinate behavior—no matter what kind of a boss a subordinate may have or what the private rationale may be.

The dynamic subordinate will not only fully and cheerfully perform this function of accountability, but will initiate it! The subordinate's challenge is to be able to account to the boss about the job honestly and factually and still retain the feeling of personal freedom and dignity.

3. Invite Him/Her In

All of us have a feeling of personal territory. My desk, my car, my coat, my home, my job, etc., are mine and are important to me. They are my territory and no one had better encroach uninvited into my domain! All of us seem to possess and exercise this “territorial imperative,” this personal ownership of the things that are ours, including our job.

There is one area, however, where a person cannot exercise such dominion with impunity—the job that the boss has delegated. It is still the boss’s territory because the boss still has accountability upward for the success of the job. The subordinate has been given only a temporary lease. The subordinate is the steward for the boss and is working to fulfill the job in the best way possible on behalf of the boss.

Some bosses, of course, for whatever reasons, will sometimes elect to respect the subordinate’s area and not intrude unasked into this domain. Other bosses make no bones about their right to tell the subordinate exactly how the boss wants the job to be done. Leaving out the psychological, motivational and productive consequences of such dominant boss behavior, there seems to be little question of the boss’s *right* to do just that. The reason for this rests upon the rule of accountability—the person who is accountable has the right! And since the subordinate’s boss is accountable upward, it is his/her right to have full access to the subordinate’s area of responsibility.

So the dynamic subordinates will open wide the gates of their job to the boss. They will invite him/her in to visit frequently. They will proudly show him/her the situation, explain the improvements, ask for help on problems, and seek the boss’s ideas for change.

The subordinate who can share his/her area of responsibility with the boss with unlimited and uninhibited trust, in turn, makes the boss his/her advocate—partner—and gains additional trust and freedom as a result. It’s the win/win way to go! The challenge to the subordinate is in fulfilling his stewardship responsibilities to the boss without falling into the trap of claiming ownership of the territory that the subordinate has so skillfully created and built.

4. Ask for Feedback

The job that a person does is always emotionally loaded by the subordinate’s perceived behavior of the boss—and most importantly, the subordinate’s interpretation of the meaning of that behavior. Whatever the boss does or does not do in the course of a relationship, day after day, has implied (and sometimes overt) meaning for the subordinate about the boss’s intentions and attitude.

For example, if the boss may seem to withhold important data that the subordinate believes is needed in order to do a job properly; if the boss doesn’t invite him/her to the meetings that he/she thinks are important; if the boss looks at him/her in certain ways; if the boss appears at unusual times; and on and on, the subordinate may wonder *why*. In such cases, the subordinate supplies the reasons and the motives for the boss’s behavior—and in many cases those reasons and motives, in the mind of the subordinate, may portray the boss’s dissatisfaction.

This is the start of distrust, suspicion, ill will, disloyalty, and outright animosity on the part of the subordinate. Over time, these emotions can build to the point of causing the relationship to end.

The sad thing in our human relationships is that very often the subordinate's *perception* of the boss and the situation is entirely incorrect. And in such instances, subordinates again have the responsibility to act, because it is they who have the data, i.e., their perception of the boss's behavior and their inferences of the meanings of that behavior. So, it is the subordinate who has the burden of taking the matter up with the boss.

In such cases, wise subordinates will choose the time and place carefully. They will also take the responsibility for the feelings that they have and the way they express them to the boss. For example, don't start out by saying "you do so and so," but rather "I feel so-and-so." Usually the boss will ask "why," and then the subordinate can describe his/her perceptions of the behavior and his/her inferences of the meaning (impact) of that behavior. This can be the beginning of a very fruitful building process that may become ongoing.

This kind of dynamic behavior on the part of a subordinate will do much to keep the boss/subordinate relationship vital and unspoiled by the pollution of unfounded suspicions.

5. Help Give Feedback

The boss, also being human, will play the same game of perceptions and implied meaning that the subordinate plays.

The wise subordinate will be aware of two important facts:

- That the boss does indeed look at the subordinate's behavior and wonder at the implied meanings it may hold.
- That the boss may not have the guts to openly and directly confront the subordinate about the things that the subordinate does that the boss doesn't like. It may be the boss's tendency to "store up" resentments and irritations over little things without telling subordinates. And if this is so, this holds grave danger for the subordinate, the subordinate may be blissfully unaware of the deep resentment and irritation that some part of his/her behavior is stirring in the boss. The danger is that one little thing the subordinate may inadvertently do may wipe out the boss's perception of all the good things the subordinate has been doing. And in fact, these irritations may (can) result in the subordinate's dismissal. The explosion of a boss's pent-up emotions can be dangerous to all subordinates.

The dynamic subordinate will take the initiative to probe with the boss for these hidden reservoirs of resentment. One of the best ways of doing this is for the subordinate to get the boss's confidence, i.e. tell the boss of his/her hopes for success and to ask the boss for help—for coaching—for ideas—and for advice.

This may ease the situation so that the boss can feel free to express his/her feelings. And once this general base of expectations has been laid, then the subordinate should take the initiative to discuss the results of any major activity that he/she has fulfilled as to what went right, what went wrong, how the boss felt, etc. The process becomes critique, and not criticism.

Only the most constricted boss can fail to respond to the sincere searching of a subordinate for positive and helpful critique.

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6. Share Your Needs

Subordinates also have needs, and wise bosses, realizing this, will attempt to understand and fulfill those needs. But—for whatever reasons—some bosses won't do this or are unable to start the process.

Dynamic subordinates will not elect to feel hurt when they find that the boss is not very aware of their needs. They won't sulk in their corner. They won't, first off, try to find another job. Instead, they will stop waiting to be chosen and will start letting the boss know what it is that they want. In reality, there is no way for another human being to actually know our needs unless and until we ourselves make them known. Oftentimes our needs do make sense to others, do fit in with higher goals and objectives, and can indeed be met. But it's the subordinate's responsibility to take the risk of making them known. That's part of being dynamic.

7. Build Trust

The only relationship that is tenable for a subordinate to have is a constant, surging flow of two-way trust. Without such trust, nothing works well and the relationship is flat, unexciting and suspicious. There can be no real professionalism without trust.

Building trust is a mutual activity and is the responsibility of both the boss and the subordinate. But the subordinate must work at it harder, take the first initiative, and avoid the depletion of trust caused by ineffective behavior because the subordinate has so much to lose if the boss's trust is lost.

When the boss loses trust, the subordinate has lost all.

Trust is built in tiny increments of positive behavior around the things that have already been mentioned: obedience with grace, accounting with absolute honesty, exercising unselfish stewardship, initiating access, and challenging and confronting. It is built by day-by-day evidence that the subordinate puts the boss's interest first; does not upstage the boss; does not let the boss look bad; saves the boss from mistakes; rescues the boss from errors; and makes the boss believe that he/she is truly happy in second place. But getting the here-and-now job done on time, fully up to its standards and fully meeting the expectation that the boss has for it, is the single most powerful producer of trust. If a subordinate will do these things, one day his/her bank will overflow with trust!

Responsibility for Ourselves

Perhaps the greatest challenge of all for us is the opportunity we have for managing ourselves in ways that enable us to be proactive in our jobs and in our critical relationships. In my own experience, it has been neither an easy task nor a quick one. But it surely is one that is worthy of our consideration and hopefully, of our effort.

Self-management is taking charge of both our emotions and our behavior so that we are not just reactive robots to every emotional stimulus that becomes activated within us. Since our emotions are, potentially, powerful motivators of our behavior, then it seems to me that we need to learn a system that puts us in charge. But the fact that I may choose self-management as an option and the actual act of fulfilling that choice (i.e., making self-management an actuality in my life) are miles apart!

There follow some ideas on how we can make a start toward self-management.

1. Acquire Self-Awareness

Our first challenge is to be aware of our own behavior and the feelings it may trigger in others. Do we behave in ways that arouse feelings of anger, hatred, frustration, fear, insecurity, and distrust in others toward us? To the extent that we generate these feelings in others by our own behavior—and since feelings generally cause (motivate) dysfunctional or inappropriate behavior—then we are sometimes a direct catalyst of such behavior in others. Thus, in this sense our behavior is ineffective.

Since we each “own” our feelings and are responsible for our ways of reacting, we cannot “blame” others for our reactions. And when we hit someone’s hot button (either deliberately or by accident), we are participating in and contributing to their inappropriate behavior, whatever it is. Therefore, our challenge is to become aware of the impact of our own behavior and to behave in such ways that we do not set in motion destructive and inappropriate chains of behavior in others—and most especially our bosses.

One important aspect of self-awareness is to examine our habit patterns of dress, of facial expression, of body language and of speech. Have we fallen into the trap of “you knowing” the end of every sentence? Do we interrupt? Do we listen? Are we cynical? Self-awareness requires eternal vigilance of ourselves by ourselves and, if possible, a trusted friend to insure that we are indeed fully positive.

2. Managing Our Feelings and Our Behavior

a. Managing the Way I Behave—One way we can cope with our feelings is through a process of self-disciplined control of our behavior. This requires that we remind ourselves that we are responsible for our own behavior and can shape it in a variety of ways. We can each develop a *range* of ways of behaving to different persons, in different situations, and for different results. This is to say that sometimes one deals with a bastard as a bastard deserves!

However, it is well to remind ourselves that certain roles “call for” certain behavior (and control). Thus, parents have an obligation for restraint toward their children, or a boss needs to consider what responsibilities are for the well-being of his/her subordinates who have been entrusted to him/her by the organization, and subordinates must consider the boss’s need for respect and loyalty. This kind of self-restraint is not a denial of the feeling; it is an optional kind of behavior that we have selected for that person in that situation. Emotionally responsive behavior is not the only choice I have for coping with the way I feel. It’s just one way, and all too often it’s not the best way!

I believe that it’s worth my effort to manage my behavior for two reasons. First, because it does save us from many a behavioral blunder. Our perceptions aren’t always accurate enough in sensing the true feelings or motives of others, despite their overt behavior, for us to risk basing all of our behavior upon them. We cannot assume that we always make the correct evaluation of their intentions and interests toward us. And second, when we do succeed, it is a great psychic reward to us because of the increased “self-esteem” that flows to us from a successful encounter with ourselves. We can be responsible for our own behavior!

b. Managing the Way I Feel—My second option for self-management is harder even than the first. This is to embrace the concept that my emotions are also my own to deal with in just the same way as my behavior.

I know and accept the fact that no one can make me “feel motivated,” “feel trust,” “feel love,” “feel happy,” and so on, unless I, too, am a willing party to that process with another person. This does not mean a denial of the feeling once it is in being, but it does mean that I don’t need to have the feeling in the first place unless I lay the feeling upon myself.

For example, someone does something which I interpret in a way that means to me that I have been snubbed. The frequent “human” emotional response to that would be either anger or hurt—or maybe some of both. (In my case, I probably would feel both.) A common rejoinder is that the other person made me feel these ways, and the behavioral response might be to *get even* in some way or other—to punish the person either by overt act or by withdrawal.

But my feelings (emotions) are *not necessarily an automatic reaction* to the behavior of another, unless *I myself let them be* (maybe even want them to be!). It’s like turning on a light bulb. There is power in the line, but the bulb won’t shine unless I turn it on. There is behavior (power) in the system (the way the person acted), but my emotions (the light bulb) needn’t be (won’t be) activated—turned on—unless I want them to be.

I like this view, and have experimented with it enough myself to know that it is viable—though it is not easy, and I fail about as much as I succeed.

- c. Our Response to Personally Hurtful Behavior—If I do what others demand of me just because my boss, my subordinates, or others get angry—swear, pout, threaten, and abuse me—then I have become a participant to their process. I am partially responsible for what they are doing to me. Their behavior is effective for them because it does achieve their objectives with me!

The most telling (best) response to the personally hurtful behavior of anyone is to deny that person the achievement of his/her objective when he/she uses hurtful and inappropriate behavior toward us (Workers in business and industry all over America are in reality doing this by their uncaring attitude about the job.) We all learn from our experience, and if our behavior doesn’t get the results that we want then we will change it pretty quickly!

3. Our Responsibility to Confront—We subordinates are enmeshed in a web of intricate and conflicting human relationships. We often feel that we are the pawns of powerful forces that use us, direct us, and sometimes discard us, at will. Perhaps the thing that is the most important for us to learn, to accept and to practice, is to assume full responsibility for ourselves, for our professional growth, and for our behavior. This means that we must learn to attain a high degree of self-management. This means that we do not delude ourselves as to what we wish for any situation, and that we know what we want to have happen for ourselves as well as for our bosses. This means that we keep ourselves close to the realities of our relationship and not let ourselves be carried away by our emotional fantasies.

Finally, this means that we have the internal personal security to take whatever risks there may be for insuring that all facets of our jobs and relationships are indeed dynamic. Perhaps the greater risk is not risking. The status quo may be the ultimate indignity.

Thus, our own self-discipline, self-management and professionalism become the underlying forces that fuel our dynamic subordinancy. We are indeed responsible for

ourselves and for our own behavior. To me, this means that if I honestly have done all the foregoing, then I take the risk of telling the boss my perceptions of the situation—my degree of psychological pain and my solutions for changing the situation. If the boss, for whatever reason, can't change either his/her own behavior or the situation, then I can exercise my final and ultimate freedom—I leave! I owe it to myself to do exactly this—not as a threat and not in anger, but for my own long-run self-esteem.

Edgar Friedenberg has said, "All weakness corrupts, and impotence corrupts absolutely." The traditional state of subordinancy is powerlessness and dependency. But as we make people dependent, we increase their capacity to hate. As we make people powerless, we promote their capacity to violence.

The thing we must learn as bosses is how we can grant people freedom despite all of the demands that the work situation puts upon us.

The challenge we have as subordinates is to secure for ourselves an enhanced self-image, a sense of potency, and a feeling of significance without resorting to the ultimate power—violence! If all of us don't learn how to achieve this for ourselves and how to teach others to achieve it for themselves, then our organizations are in for a continuing era of violence—not because people are bad, but because they hurt so much around the deprived condition of their human needs.

* * *

"A major theme, dominant in setting the tone, was the assertion that we need to rediscover the phenomena of leadership; the pursuit of rigor and precision has led to an over-emphasis of techniques at the expense of knowing what is going on in a direct, human way."

—James Lester

"We need to understand the reality around us—the reality of the whole. The best social science reporting comes from journalism, not from researchers. Norman Mailer's 'Of a Fire on the Moon' is an excellent example of someone's immersing himself in and trying to understand a large complex system, rather than fragmenting it."

—Peter Vaill

THE UPWARD LEADER'S CALLING

From Michael Useem, *Leading Up: How to Lead Your Boss So You Both Win*, New York: Random House, 2001, pp. 279-294. Reprinted with permission of the publisher.

None of us is ever likely to face the extraordinary conditions confronted by Sandy Hill Pittman on Mount Everest, George McClellan on the peninsula, or Roméo Dallaire in Rwanda, or to suffer the calamitous events that befell Joseph Johnston, Beck Weathers, or Thomas Wyman. Few of us will reach the heights of public responsibility achieved by Charlene Barshefsky, Domingo Cavallo, or Peter Pace—or the pinnacles of private enterprise achieved by Robert Ayling, David Pottruck, or Eckhard Pfeiffer. Few, if any, will shape a nation's future as profoundly as did Robert E. Lee in 1863. All of us can only appreciate the accounts of what Abraham, Moses, and Samuel have given to others.

Yet we can all look to what they did—and in some cases did not do—to prepare ourselves for those times when we, too, are called to lead from below. Learning from successes and failures in the past is a potent recipe for securing triumphs and averting disasters in our own future.

Heroic moments and moments of great crisis make the best accounts, and the best accounts make the best teachers. But even when the scale of our endeavor is smaller, opportunities for leading up come to almost all of us. In the best organizations, leadership is company wide. As the great prophets of the Old Testament demonstrate, nobody's superiors, even God on high, are so superior that they can never benefit from guidance within the ranks.

But leading up is not a one-way street to the top. Upward leadership requires an ability to work in two directions at once, each with its hazards. Leading up isn't about rebellion or usurpation; it is about stepping into the breach when there is no one else to do it and about listening to such leadership when it emerges. Had the commander of the U.N. forces in Rwanda decisively—and convincingly—conveyed the signs of genocide, he might have acquired the means to stop it; had his superiors given more heed to his warnings of holocaust, it conceivably would not have come to pass. Had the mountaineers on Everest insisted that Scott Fischer not go up, he might have come down; had Fischer encouraged them to question him before he needed it, they might have been emboldened to do so when he did require it. We want—without the ironic twist—what movie mogul Samuel Goldwyn Jr. once said of his own operating style: “I don't want any yes-men around me,” he declared. “I want them to tell me the truth, even if it costs them their jobs.”

The fates of our superiors often depend on our actions, just as our own fates depend on the actions of those below us. While we must look for ways of leading up ourselves, we must also give our subordinates the means of leading up. Building that capacity in ourselves and others requires an appreciation for the measures that make the greatest difference.

Each of the sixteen people listed below was called to face a critical challenge upon which much depended. How they reacted is a measure not only of their own characters and of how well or poorly they were prepared to lead up by the people who were supposed to lead them, but also in many cases of the corporate cultures in which they functioned. A

summary of the challenges and the practical implications of their individual responses follows.

<i>Leaders</i>	<i>Institutions</i>	<i>Challenges</i>	<i>Implications</i>
Joseph Johnson George McClellan Robert E. Lee	Confederate States of America United States of America Confederate States of America	Waging the Civil War	Keep your superiors well informed of what you have done, what you are doing, and what you plan to do.
David Pottruck	Charles Schwab & Co.	Moving brokerage onto the Internet	Persuade your boss of a new course with a path that is right, a rationale that is airtight, and a determination that is steadfast.
Roméo Dallaire	United Nations	Averting a national catastrophe	Step up to a moment when you can make the difference even if your superiors fail to see it and the risks are grave in seizing it.
Robert Ayling Eckerd Pfeiffer Thomas Wyman	British Airways Compaq Computer CBS	Retaining your board's confidence	Even if you're CEO, remember that your directors and investors are your bosses, and never surprise any of them.
Peter Pace	U.S. Marine Corps	Facing six bosses	Serve each superior as if he or she were your only boss, but let all know precisely what you are recommending to each.
Sandy Hill Pittman Beck Weathers	Mountain Madness Adventure Consultants	Ascending Mount Everest	Press your boss for elaboration of instructions, and step into the breach if the boss's leadership is wavering.
Charlene Barshefsky Domingo Cavallo	United States of America Republic of Argentina	Negotiating with China; converting national currency	Build the factual foundation that your superior needs to implement a controversial policy or initiative.
Abraham Moses Samuel	Old Testament	Interceding with the supreme being	Convey intents downward and interests upward, transforming what your superior and subordinates want into what all deserve.

The Difference That Upward Leadership Makes

When organizations fail to foster or refuse to accept upward leadership, the costs can be acute; when they receive upward leadership, the benefits can be great. The sharply contrasting styles of two naval commanders offer stark examples of each.

British Admiral Sir Cloudisley Shovell was sailing triumphantly home in 1707 from skirmishes against a French fleet in the Mediterranean. As he neared Great Britain, his ships became enveloped in a dense fog for several days, and he summoned his navigators to determine their location. The navigators concluded that the fleet was safely clear of the Brittany peninsula, but one of Sir Cloudisley's sailors approached him to report that he had independently tracked the fleet's location. The Royal Navy forbade navigation by inferiors, but the seaman was so alarmed by his calculations—they placed the fleet on a fatal path toward the Isles of Scilly, a string of 150 tiny islands off the southwest tip of England—that

he felt compelled to step forward. Rather than heed the unsought counsel, the admiral hanged the sailor on the spot. Soon thereafter, the fleet's five warships smashed into the fog-enshrouded shoals, sending 2,000 men to a watery death.

Almost three centuries later, in equally hazardous waters off the British Isles, an American vessel faced peril of its own, but with dramatically different results. The captain of the USS *Daniel Boone*, a nuclear-powered submarine, was guiding his craft late one evening in 1979 toward a port on the coast of Scotland. Just before retiring to his quarters for the night, he ordered his sub to proceed without its running lights or yellow beacon, and he selected Thomas Flint, who had graduated from the U.S. Naval Academy just four years earlier, to pilot the vessel. Flint, serving for only his second time as "officer of the deck," was now fully responsible for a vessel thirty-three feet wide and more than a football field in length. With nuclear-tipped missiles and a full crew on board, Flint's premier obligation was for a safe and secure passage.

As Thomas Flint stood atop the submarine's conning tower that evening, the (winkling lights along the coastline gave him good reference points for his twelve-knot course toward a naval port adjacent to an air base at Prestwick. When a tiny flickering yellow light mysteriously came into view dead ahead, Flint queried his quartermaster about its origin. With navigational charts at his fingertips, the seasoned quartermaster concluded that it was a beacon at the Prestwick air base straight ahead. Flint kept a watchful eye for a while on the beacon until, almost imperceptibly, it seemed to be closing faster on him than the other lights at the air base. "It didn't feel right," he recalled. Ten minutes later he asked the officer below for reconfirmation of the beacon's identity. Yes, he was reassured, the light was indeed from the air base. Five minutes later Flint asked yet again, and now with irritation the quartermaster once more reaffirmed its source.

Moments later the light seemed to pop out of the darkness, only a half mile ahead. Then a "blacker than black" mass took form immediately in front of Flint, the yellow light squarely on top. With only seconds to act and no time to consult, he barked, "Left hard rudder, all ahead flank!" The submarine's engines roared, the vessel veered, and as it came abreast of the onrushing mass, Flint discerned a very familiar shape: another submarine. Now fearful of both hitting the shoals on the left and having his tail swiped by the onrushing sub, he ordered a hard right just seconds later, bringing the two subs back to parallel courses, only now some twenty-five yards apart instead of nose to nose.

So close were the two vessels that Flint could make out his counterpart's insignia on the other's conning tower. As the two submarines silently glided past each other, Flint's commander rushed on deck, turned to Flint, and said simply, "Tom, you saved the ship!"

The right decision in this instance had not been the obvious one. With shoals to the left, the prescribed tactic would have been to veer right. But since the oncoming sub was ever so slightly to the right, that decision would have proved fatal. Flint still does not understand precisely why he ordered the hard left, since the two subs were so closely aligned on their collision course. But his instinct served him well, and it served well the lives of more than 100 sailors and the careers of more than a few officers. And it was an instinct honed by training and a commander's willingness to be led from below. Unlike the commanders of the British navy nearly three centuries earlier, American naval commanders had set a premium on leadership in the ranks, and on this occasion that practice had served the navy well.

But even an institutional premium on upward leadership will lose its punch if not routinely practiced and reinforced. This was evident on February 9, 2001, when the nuclear

submarine USS *Greenville* abruptly surfaced into a Japanese fishing boat, the *Ehime Maru*, sending nine passengers to the bottom of the sea just nine miles south of Honolulu's Pearl Harbor.

A U.S. Navy investigator reported that a visiting officer, Captain Robert L. Brandhuber, had sensed that the *Greenville's* commander Scott D. Waddle was rushing preparations and cutting corners for a surfacing demonstration for sixteen civilians on board—but that Brandhuber said nothing to the commander about his concerns. Similarly, Lieutenant Commander Gerald K. Pfeifer, the second-ranking officer, who carried the most explicit obligation to challenge questionable procedures, had failed to voice his own doubts about their rapid pace, including an abbreviated periscope inspection of the horizon just before the surfacing. Pfeifer, the naval investigator said, “was thinking these things, but did not articulate them to the commanding officer.” Another sailor on board knew that a sonar reading had revealed the presence of a surface ship near the *Greenville*, but he noted that the civilians on board made it difficult for him to convey the information to his commander. He also believed, evidently incorrectly, that the commander already knew of the sonar reading.

The naval investigator concluded that the crew members so respected their captain that they were reluctant to challenge him. Commander Waddle, said the investigator, “doesn't get a lot of corrective input from subordinates because he's very busy giving directions, and the ship has experienced a lot of success when he does.” Had the institution more effectively stressed its principle of upward challenge, had the visiting officer and the commander's subordinates been emboldened to question his actions, five fishermen and four high school students on board the Japanese boat might be alive today.

A capacity for upward leadership has become so important that some executive search firms include it in their screening. In looking for the chief executive of a start-up enterprise, one search firm placed a premium on whether candidates were effective at upward persuasion—in this case with prospective investors. In another case, the search firm was seeking a chief financial officer for a national subsidiary of a multinational corporation. This time, the sine qua non was an ability to communicate upward with the parent's chief executive and chief financial officers.

A price can sometimes be placed on that capacity. The chairman of Samsung Group, Lee Run Hee, decreed that Samsung should invest \$13 billion to become a car producer, targeting 1.5 million vehicles by 2010. Auto making was already a crowded field, plagued by global overcapacity, but Lee was a powerful chieftain and a passionate auto buff, and none of his subordinates questioned his strategy. A year after the first cars rolled off the line in 1999, Samsung Motors was history. Many of Samsung's top managers had silently opposed the investment, and Lee later told them he was puzzled why none had openly expressed their reservations. By then, though, Lee had reached into his own pocket for \$2 billion to placate angry creditors.

Sometimes the capacity to lead up can be nearly priceless. If your subordinates believe you'll always go on the line for them, they'll unswervingly do the same for you, as Peter Pace learned in Vietnam. If they believe the opposite, they'll do the opposite, happier to see you falter than prosper, as other commanders learned the hard way in Vietnam when shrapnel seemed to come from behind the lines, not only the front.

A Bias for Upward Action

A common element in all of the experiences considered here is the presence or absence of a driving urge to make things happen on high, an unflinching willingness to take charge when not in command. A fortifying culture can nurture upward leadership, but in the end, it's up to the individual to act. Some people need reminders, others require none. David Pottruck stepped up on his own to persuade Charles Schwab of an online future, while Beck Weathers did not think to press Rob Hall for a contingency plan. Robert E. Lee revealed all to Jefferson Davis, while Joseph Johnston shared nothing. What made the difference was a profound personal bias for upward action.

As a case in point, consider a group of teachers in a large suburban high school. For more than a decade, they had worked for a tyrannical department chairman who micromanaged, dismissed ideas, and criticized everybody. Teaching languished, instructors quit, and students paid, and though the department's problems had become well-known within the school, the principal never intervened. Mustering all their courage to challenge a boss who had a record of forcing out critics, the teachers sent their chairman a letter detailing how he should mend his ways. To the surprise of most, the chairman wrote back, saying that he would have to change, and for the next two years he solicited weekly feedback from three teachers who had volunteered to provide upward coaching. In time, the superior changed in just the ways his subordinates had urged; he would not have if they had not so acted.

Individuals, in short, can and must make the difference. But organizations can make it infinitely easier for that to happen. Had the United Nations depended less on bureaucracy, it may have been more alert to its mission. Had the boards of British Airways, CBS, and Compaq Computer been less aloof, they might have enabled their chief executives to catch the wave before it toppled them. Leading up is the product of not only an individual bias for upward action but also a collective readiness to act.

Some Just Don't Get It

Like liverwurst and lederhosen, leading up just isn't for everyone. We've all known bosses who couldn't accept suggestions from below and who had no knack for downward leadership either. We've known colleagues and subordinates, too, who seemed utterly incapable of upward support. Can these paragons of anti-leadership transcend their own limitations? Sometimes the answer is simply no.

Charles, the founding owner of a hotel chain, had given all daily operating responsibilities to Robert, his chief executive. Under Robert's tutelage, the chain had a great year, and Robert expected to see a bonus of \$1 million. Charles savored the good news but decided that Robert's performance was worth no more than \$100,000. When the CEO learned that he was to receive only a tenth of what he thought he deserved, he went on strike, taking no calls, attending no meetings, making no decisions. Robert got the axe. Expert at leading down, Robert showed all the subtlety of a two-year-old when he was required to lead the boss toward his own vision of just compensation.

Mary, a rising analyst at a prominent information-services company, had hoped for guidance from Frank, her midlevel boss. But Frank's style proved a near perfect anti-model. He arrived late for meetings, even those he had called. When he scheduled a meeting for the entire office to hear a project report from Mary, he appeared half an hour late and then tapped

on his laptop computer throughout what remained of her presentation. Later, when Mary asked Frank privately for reactions to her presentation, he offered a few cursory observations while simultaneously checking his voice mail, answering his e-mail, and placing phone calls. Mary saw him do the same with clients: When briefing them by telephone, he browsed his e-mail, rolled his eyes when client questions seemed beneath him, and occasionally raised a middle finger when client requests seemed burdensome.

In work guidance, Frank proved equally inept. The company sent Frank to open an office in London, and it asked him to continue overseeing Mary and the New York staff. When Mary completed her newest work assignment, she sent an e-mail to him in London, asking what he wanted her to do now. "Just keep researching whatever it was we agreed that you would be working on during this time," he replied. Unfortunately for Mary, no "whatever" had been previously agreed upon. "Whenever I think about Frank's antics," she said, "I can't help but think that I couldn't have invented a worse example of a manager if I tried!" Finally, in desperation, she approached her boss's boss, but he too offered no direction. Mary persisted, still believing if upper management were brought to it senses, it would get far more from its talented ranks, but several months later she threw in the towel, accepting a better-paying position at an arch rival.

What percentage of an average workforce has the potential to lead upward? Proportions will vary dramatically, depending on the existing corporate culture, but the experience of one banking executive suggests rough figures when starting cold. The manager had just taken charge of a major operation of a U.S. bank in 2000. The division required revitalization from its historic role as a passive asset manager into a far more aggressive role as a seller of asset-management services. The new executive believed that would only happen if everybody in his senior ranks stepped forward to produce it. Through speeches, messages, and forums, he pressed his top 100 people to excite the troops, devise new products, and strengthen the strategy. He discovered to his disappointment, however, that too few were ready for the task: One-third were reluctant to rise up, having long worked in a pecking order that had never valued such subordinate behavior in the past; another third was indifferent about doing so, waiting to see if the new guy at the top really meant what he said; and only a third was eager to do so, brimming with ideas for the new executive to consider. Granted, one in three might not sound like much, but in baseball it's an all-star average, and in business it can be a solid base to build on.

Most Can Learn It

Even if upward leadership now seems a distant concept in your organization, be heartened: Its absence is often more a matter of conceptual blinders than inherent incapacities. There's no "leadership pill" to get you where you want to go, no silver bullet, no magic ten-step program that will turn inherent followers into budding leaders, but upward leadership can be inspired if you're willing to take the time and do the often very hard work. This is a journey of many small steps, each one important.

Once established, a company wide culture of leading upward can serve as a kind of inertial guidance system, continually reminding managers that they are obliged to stand up without the need for any superiors to say so. For building that mind-set, five initiatives are in order:

1. Identify Managers for Development. Finding those with a capacity for upward leadership is an essential first step. Who has shown fearlessness when a leadership vacuum above threatened a product or program? Who seems willing to look in both directions for opportunities to lead and listen? Traditional leader-development programs have been reserved for a select few, but remember: Company wide leadership grows best when it grows at many points throughout the organization. If you look widely when you identify the managers for development, then you are likely to be widely rewarded.

2. Coach Managers One-On-One. Begin by engaging those closest to you in a dialogue on upward leadership; then ask them to do the same with their associates. It is especially useful to discuss your own moments of upward success and setback, and then to ask others to synthesize lessons from their own past experiences. Providing them with private coaching and personal mentoring helps, too, and General Electric Company chief executive John F. Welch Jr. has done precisely that. GE had long used one-on-one mentoring of its next generation of top talent, but in 1999 Welch stood the concept on its head. He asked each of his 600 top executives to reach down in their ranks to find an Internet devotee who could teach them the ropes. “E-business knowledge is generally inversely proportional to both age and height in the organization,” he explained. His reverse mentoring was intended to “change that equilibrium.” Welch himself picked Pam Wickham, who ran GE’s main website; chief financial officer Keith S. Sherin asked Nevin Zimmerman, the firm’s e-commerce strategist; division head Lloyd G. Trotter selected Rachel Dorman, a developer of his unit’s website. Dorman reported that the experience of looking up had emboldened her to better tell managers what they should be hearing from below. CFO Sherin said that his biweekly coaching from down under provided an invaluable sounding board for his prospective corporate Internet partnerships. Midlevel managers reported they had become more comfortable in feeding ideas upstairs and pressing their boss to change; top-level managers reported they had become more comfortable in eliciting insights from below.

3. Create Development Programs. Introducing an upward component into existing or new management-development programs is also useful. In 1999, Ford Motor Company initiated for some 2,000 managers an annual “new business leader” program built around an “up and out” thrust. The organizers formed teams to identify fresh ways of transforming the company’s way of doing business. Ford executives coached them in the arts of upward persuasion, and the teams then proceeded to sell their ideas outside their own operations. Ford’s vice president for human resources, David Murphy, explained the program’s rationale: “We want people at all levels who will take risks, who are prepared to coach and to counsel, and who can make decisions.” By program’s end, participants were pumped. “I’ve got this idea that could transform the company,” said Kris Rogers, who worked on Ford’s receivables, “and no one is telling me that I can’t try it out.” Jason Harvey, a marketing manager, offered, “I always wondered, ‘How do I bring this idea to the big boys?’” Now, “not only do I have an idea that can change the company, but I also have license to pursue it.” David Murphy explained why these upward capacities had become so vital to the company: “We can’t afford to wait for decisions to come down from the top.” Otherwise, he said, the consumer “would be gone before those decisions even got made.”

4. Focus Managers on Upward Experience. Another avenue is to ask your managers to consider what others have achieved when their opportunity for upward leadership was either skirted or seized. By examining in detail what others have done, we can better

appreciate what we should do ourselves. The more that past experience can be brought to life, the better it can inform present behavior. To appreciate what George McClellan, Joseph Johnston, and Robert E. Lee faced as they made their fateful decisions in 1862, you may want to take your managers for a day or two to the Virginia peninsula where those decisions helped shape our nation's history.

5. Set Examples for All. A final course is to begin behaving as though upward leadership seems natural. William Copacino, managing partner for Andersen Consulting's strategy division in America, had been told in 1997 by his immediate boss, Peter H. Fuchs, and the chief executive, George Shaheen, to grow his business by expanding his 2,000-person workforce by 30 per year to keep up with the rest of the company. Copacino studied the options, concluded that he could not hire the quality he required at such a torrid rate, and told his very demanding superiors that it simply could not be done. They heeded his warning. Just as important, an example of leadership had been set for all to see. Three illustrations from the world of health point to the same:

- A New York medical doctor told his staff nurses and physicians from the day they were hired that if he was doing anything wrong—or could be doing something better—they must tell him. He publicly commended all who did.
- When a drug company was acquired by a large U.S. pharmaceutical firm, it included a division whose products were unrelated to the new owner's core business. The parent took little interest in the division, allowing it to drift, even though the division's executives repeatedly asked for a vision of its future. The division began hemorrhaging talent and energy—until its president filled the void by concocting a strategy of his own.
- A hospital administrator had slashed a proposed \$50 million renovation and expansion for one of its units back to \$30 million, but the medical director for the unit believed the cut was unconscionable. She argued with the administrator to no avail, and even hired an outside group for an independent opinion. The consultants reached the same conclusion, and the medical director argued again for the full amount. When the hospital administrator angrily denounced still another reopening of the issue, the medical director asked to take the issue to the board, which the administrator grudgingly permitted. The board unanimously restored the original amount.

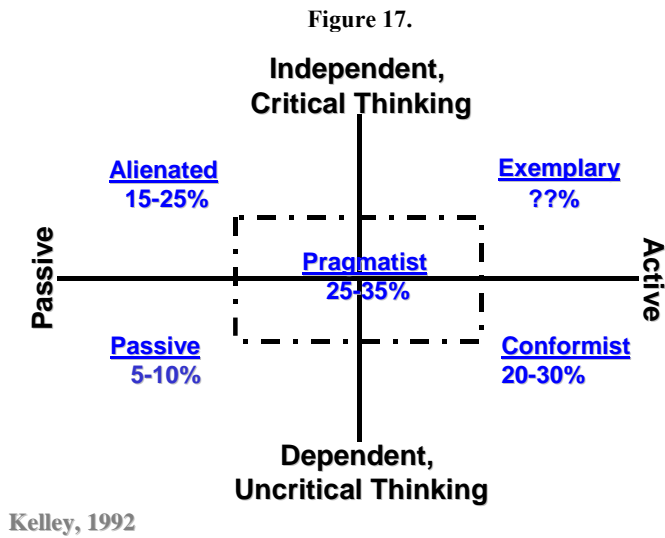
Leading up takes courage: the courage to be corrected, the courage to take over when others won't look your way, even the courage to buck the system and force your way to those who can set things right. The rewards aren't always great for those who take such steps, but the institutions they serve are almost always better for their gumption.

Managing and Leading

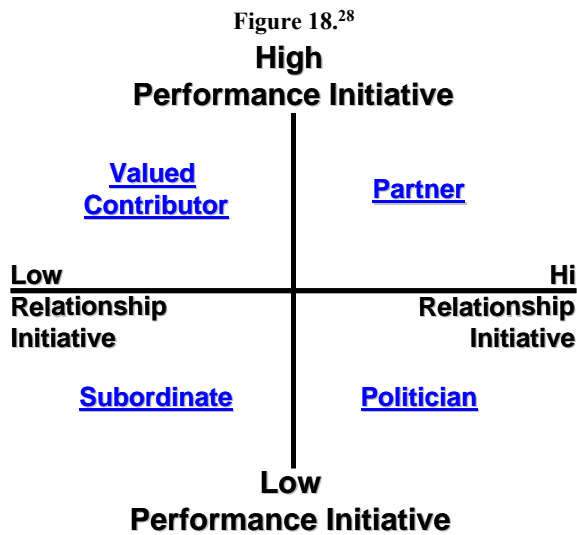
Sometimes we see managing and leading as exclusive spheres, each following its own logic, each with a separate purpose. But however different managing and leading might be conceptually, the truth is that the two are joined at the hip. Without successful managing up, businesses lack the structural sinew that holds day-to-day operations together; without successful leading up, they forfeit the courage and creativity that can come from anywhere in the company.

The prescriptions for managing up are many. Business school faculty John Gabarro and John Kotter have urged consistency and honesty for “managing your boss.” Management expert Leonard Schlesinger advises: Stop whining about your boss, start thinking for your boss, get courageous when your boss is not, and know that “it doesn’t take a wizard to build a better boss.” A column in the *Wall Street Journal* recommends using job interviews to help spot “bad bosses before you get stuck working for them,” and another column asserts that “competent bosses recognize” the “importance of managing up” and advocates telling your boss of your operation’s achievements. AT&T has issued its own company guidelines for dealing with “problem bosses.” Among the suggestions: Resolve as many business problems as you can before they ever reach the human problem above you. Writer Richard Stengel proposes the use of “strategic praise” but also warns that the “greater the status difference between you and your target, the more subtle your flattery should be.” (Be wary, in short, of telling the CEO that he or she is a “genius” if you are a lowly technician.) Author Jeffrey J. Fox has said it is important “to make your boss look good,” but it’s even more so to make “your boss’s boss look better.” Above all, most say, any hint of manipulating your boss is sure to backfire.

Whatever your formula for managing up, building a method for leading up is essential as well. Managing up strengthens the organization; leading up can save it when the peril is greatest and the right course of action is most difficult to see from the lofty heights of the boardroom. For this, you will have to customize your way, but from Charlene Barshefsky and Robert E. Lee to Peter Pace and David Pottruck, we already have a rich lore of experience to help you take command when you’re not in charge.



What Kind of a Follower Are You?



²⁸ Potter, E. H., W. E. Rosenbach, & T. S. Pittman, "Leading The New Professional," in *Military Leadership* (3rd ed.), eds. R. L. Taylor & W. E. Rosenbach. Boulder, CO: Westview Press, 1996.

What Kind of a Follower Are You?

Case Study

You are Captain Brock Coulson, a geographic sector commander. After attending a meeting with your chief and his staff at the Police Department Headquarters downtown, you scheduled a meeting for your watch commanders and staff to discuss some changes in the geographic area of responsibility that comprises your sector. You have been given several additional blocks that take you to the edge of a high crime area with a history of violent crimes and other social ills. You tried to convince the chief not to make this reorganization of geographic boundaries, but you were unsuccessful. Now you are stuck with a plan you don't like.

As you finish the routine items of information, you begin to describe the planned changes to your leadership team. The first reaction comes from Lt. Joe Smith who says, "Captain, you know you can count on me. My guys and I are with you no matter what, and we'll make this thing work. Don't worry about us."

Lt. Frank Thompson chimes in by asking "Are you sure we should be taking on this added territory now? We are already short several patrol officers, and our guys are pulling too much overtime right now. The budget is stretched really thin, and morale is going down. If we have to move into a high crime area, that means more patrol officers will be needed at night and on weekends. I just don't know whether this is a good idea or not."

Lt. Alice Toklas, who usually listens to others before she speaks and has to be pushed to follow through on things, especially when she seems unsure or disagrees, then states, "This is the last straw. I can't get any more out of my people, and if we have to add to our area, then I just don't know how any one can expect us to be effective. Those people at Headquarters are just out of touch, not to mention they're sucking up way too much lately to the politicians who run this town. What's the chief trying to do, become the next city manager?"

You can see this is going to be a tough sell when Lt. Thompson asks, "How much overtime money is there going to be for this until the department can hire some more people and get them trained? That will take months, maybe even a year or two."

Smith snaps, "I just don't understand you guys. We're supposed to be leaders, so whatever the Captain says, we're going to do, like it or not."

Lt. Willy Webb then joins in the discussion. "I don't like it, and I think you ought to go back to the chief and tell him how we feel and how hard this is going to be on all of us. But if we have to do it, let us figure it out and we'll find a way to make it work."

You want to be sure you hear the views of everyone, so you ask Lt. Abner Strong, who hasn't said anything yet, what he thinks. Abner says, "It doesn't matter to me. Whatever most people think is fine with me. I don't much care one way or another. We just get dumped on all the time anyway, so what difference does it make what I think."

Thompson then suggests that all of the lieutenants get together after the meeting and spend some time brainstorming how to juggle people and cover all the bases. You thank everyone for their input and declare the meeting over, wondering whether there is enough support to make this change or not. You are also beginning to wonder how you could get the

chief to consider some ways to cover the city other than this one, which seems to be putting a band-aid on an arterial bleed.

After you have left and walked out of earshot, Alice says to Frank Thompson, “I have never seen such blatant brown nosing! You are already number one on the new captain’s list--lighten up. The same goes for you, Joe, everyone knows you are the perpetual brown noser. This idea sucks! You guys can kiss a-- all you want, but I’m not doing any more than I have to do to stay off the captain’s s--- list.”

Willy Webb joins in saying, “Alice, you need to start earning your pay. All you do is gripe and complain. You must be one heckuva test-taker!”

Then Thompson says, “We’ve either got to find a way to make this work or help Brock put together a plan to convince the chief to rethink his decision and put it off until we have the manpower to do it right. Now let’s see what we can come up with so we don’t get this jammed up our butts.”

Abner mumbles, “Whatever,” as the others begin to put ideas on the white board while Alice looks on silently.

Use the first two steps in the Leader Thought Process.

I. (Step I) **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) **Analyze** the situation using the theories of Effective Followership and Partnering.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Classify each of the lieutenants in terms of the follower style they used during the meeting.

Joe Smith _____

Frank Thompson _____

Alice Toklas _____

Willy Webb _____

Abner Strong _____

Brock Coulson _____

Classify each of the followers in terms of their partnering style.

Joe Smith _____

Frank Thompson _____

Alice Toklas _____

Willy Webb _____

Abner Strong _____

Brock Coulson _____

III. (Step II) *Explain* the effects of the various follower styles on the motivation, performance, and satisfaction of Captain Coulson’s leadership team.

Who is leading up or has anticipated the need for leading up?

How can any of the followers in this situation lead those above them in the organization? What would you do in a similar situation? What conditions must be present in order for followers to lead up?

Describe how leaders can develop followers to act like leaders when necessary, and to become the formal leaders of the organization in the future.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

Name: _____

Complete a Student Journal entry for Effective Followership.

Think of a time when you have been a follower in your department. Classify your behavior and that of someone who was a different type of follower. Were you and the other person active or passive followers? Did you exercise critical, independent thinking or uncritical, dependent thinking? What kind of thinking did the other person use? Which of the four follower styles were you using? Which style did the other person use? How did the two follower styles affect the leader's efforts to influence others to achieve the organization's goals?

Lined writing area consisting of approximately 30 horizontal lines.

LESSON 10: INTEGRATION I

Introduction

This lesson consists of:

1. Area I Overview
2. Case Study

Assignment

1. **Review** Lessons 1-9.
2. **Read Course Guide**, pages [177207-186216](#).
3. When you solve the case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using all applicable theories from the course to date.
 - III. **Explain** an Area of Interest in terms of the theory(ies) you selected in the step above. Use the selected theories to explain why individual motivation, performance, and satisfaction; group structural dimensions and performance; and organizational performance are affected.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretically correct leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.

Area I Overview

In the last nine lessons, we examined a variety of perspectives on how and why people behave as they do and subsequently, how they are motivated to behave in certain ways. To summarize the first area, we accomplished the following:

1. Discovered concepts that help us understand how each of us is different. In our exploration of **The Individual as a Psychological System**, we discussed several key individual psychological concepts--**Adult Development** and **Generational Differences**. Combined, these notions help us understand how one input can lead to any number of possible outputs.
2. Explored how we develop causal explanations of things that occur around us when we discussed **Attribution Theory**.
3. Looked at the importance of perceived fairness as we discussed **Equity Theory**.
4. Gained an understanding of how **Expectancy Theory** takes us from individual behavior to a successfully completed job done, to the organization's standards through the anticipation of a valued reward. Additionally, we learned the value of establishing goals as a tool to motivate employees with **Goal Setting Theory**.
5. Recognized the power of **Motivation through Consequences** (rewards, punishments, negative reinforcement, and extinction) as a leadership tool. Additionally, we began to study the notion of **self-regulation** and the effects on our behavior of observing the behavior of others.
6. Examined motivation by looking at the physical environment, discovering how modifying one's job and job conditions can influence job satisfaction and performance by using Hackman's **Job Redesign Theory**. We further expanded the concept of intrinsic motivation through an understanding of **Cognitive Evaluation Theory**.
7. Learned that leaders are not the only players in the complex operation we call leadership. Followers (and hence the concept of **Followership**) are vitally important in the successful completion of the organization's goals.

In this lesson, we will combine all of these concepts to solve problems in a complex police leadership situation.

I. IDENTIFY WHAT IS HAPPENING IN THE SITUATION

In a simple, numbered list:

Identify the **Areas of Interest** that compel a leader to act.

II. ANALYZE WHAT IS HAPPENING

Answer the Course Guide questions using applicable behavioral science and leadership theories:

Analyze the situation using course concepts to organize and make sense out of what you observe in this situation. What are the relevant variables and how do they help you make sense out of what is going on? What is the logical chain of events and the root cause?

III. EXPLAIN WHAT IS HAPPENING

Explain the level of motivation, performance, and satisfaction you have observed using course concepts. How are the variables related to the desired outcomes the leader seeks?

IV. FORMULATE LEADER ACTIONS: SELECT

In a simple list:

Select which theoretical leader actions will be effective in this situation.

V. FORMULATE LEADER ACTIONS: APPLY

In narrative form:

Apply the theoretical leader strategy(ies) by designing a specific leader plan that addresses all Areas of Interest.

VI. ASSESS WHAT IS HAPPENING

In a simple list:

Assess to see if your plan is working. Describe what information you will collect, how you will obtain it, from whom, how often, and in what form. Be very specific. In practice you would use the assessment results to evaluate and revise your plan.

Case Study

As the new Commanding Officer of Narcotics, the first thing you see is an audit of your unit. On the top page is a hand-written note from your assistant chief; it reads, "Get right on this, commander!" Reading the audit, you discover that Narcotic's accountability for informant funds is a disaster. No money is actually missing and no one is alleging misconduct, but the audit reveals that your officers do not follow proper accounting procedures. You decide to visit the Narcotics Office.

As you arrive, you find a scruffy young narcotics cop sitting in the office drinking coffee. He introduces himself as Mike Lark. "Good morning, commander. My sergeant, Jim Driggs, is gone right now, but he left me this arrest recap to show you, in case you came by. I hope this is what you wanted to see because I don't know where anything else is."

You begin to look at the recap of arrests. "This looks fine, Mike, but I'm more interested in the informant chits that show how investigative funds are being expended. By the way, how long have you been assigned to Narcotics?"

The officer sighed. "Commander, I've only been working here for six weeks. I don't really know what I'm doing, and Jim Driggs hasn't had the time to help me out. I guess he's been pretty busy lately because he goes over to the corner cafe every morning for a planning meeting with Sergeant Rita Fair of day watch. The paperwork side of this job is what gives me the most trouble. I used to try my hardest to figure it out on my own, but it is useless. Now, I just concentrate on doing computer checks and arresting street dealers.

"You know," he continued, "Jim Driggs has recommended me for Officer of the Month. He says that even though I've only been here a short while, my attitude is so great that I'm way ahead of the competition. I would really love to show my wife and kids my picture in the station lobby, and the commendation would look great in my package!" You wished him luck and walked back downstairs.

On the way, you run into the day watch lieutenant, Lt. Brady. You ask him about these "planning sessions" with Sgts. Driggs and Fair. Lt. Brady responds, "I don't know who you've been talking to, but there's not much police business going on between those two. It's more like monkey business."

"What are you trying to say, Lieutenant?" you inquire.

Lieutenant Brady continues. "Fair and Driggs have had kind of a thing going. I'm not sure how serious it is, but it has started to affect Driggs' duty performance. He's just not supervising Narcotics the way he should. Just a few days ago, your predecessor, Lieutenant Smith, ran into Driggs and Fair at the cafe. Smith was furious when he found out how much time they had been spending there. The lieutenant counseled both of them, but I'm not sure how much good it did. I overheard Driggs say that he's content to just kick back and take it easy, regardless of whether the lieutenant 'chews him out' or not."

Brady went on, "It's kind of a puzzle to me. Driggs used to be one of our best supervisors. He's an ex-SWAT cop, a physical fitness buff, and a really sharp administrator. When he first got the narcotics job, he got the whole unit in shape. Lately, everything seems to be too much trouble for him. He's on the list to go to back to Patrol

Division as a sergeant, but they're not taking anyone back right now." As you listened, you made a mental note to talk to Sgt. Driggs as soon as possible.

You bid good-bye to Lt. Brady and proceed to the Records section. You are immediately impressed with the records supervisor, Cleo Bowe. "Good morning, lieutenant," said Mrs. Bowe. "Can I help you with something?"

"Nothing in particular, Mrs. Bowe. I was just touring the station and wanted to stop in. How's life in the Records section?"

"Well, to be honest, it could be better. When I got this job as a senior clerk, I thought I could give the record clerks different things to do and improve their working relationship with the police officers. I'm not the kind of person who just sits back and lets things happen. It's really important to me to make a difference, but I've met such strong resistance from one of the watch commanders, I find myself just doing everything 'by the book.' I would like to implement my own short and long-range plans for unit training, but I was ordered to 'stick to the way things have been done in the past.' Don't get me wrong, lieutenant, this job is better than the one I had at Municipal Court. It's just that I thought I'd be getting a unit I could really call my own."

You thank Mrs. Bowe for her candor and start back to your office. You happen upon Lt. Ross, the evening watch commander, and ask him for his assessment of Bowe's duty performance. Lt. Ross replies, "She's a pretty sharp worker. She tried to get a little too creative at first, but I got her back in line. I gave her a good chewing out, and I haven't had any problems with her lately. I pointed out that we need to stick to the tried and true ways, and not try to make a bunch of changes. Since then, she has been doing fine."

After talking to Lt. Ross, you head back to your office and ask your administrative assistant to send Sgt. Driggs, the narcotics supervisor, in for a chat. A few minutes later, you hear a rap on your door and in walks Sgt. Jim Driggs. You begin, "Have a seat, Jim. From your point of view, how are things going in Narcotics these days?"

Driggs responds, "I'm going to level with you. When I arrived in this division, I was fired up. No job was too big a challenge for me. I was putting in extra hours and doing whatever I could to square away the unit. My plan was to do a dynamite job, then to transfer right back to SWAT when my tour was up. I had it all lined up with the SWAT commander, but some assistant chief decided that ex-SWAT cops should not go back there as supervisors. That's really a stupid decision. I have a ton of tactical experience and expertise, but it is going to waste. Now, I'm in a dead-end sergeant position, in this sleepy hollow division, with no guarantee where I'll get sent when my tour is up. I don't want to slide back to sergeant on patrol, when I should be running a SWAT."

"It's even worse when I look around this department and see all the nimrods they are bringing in to supervise SWAT. Look at Sgt. Jones, for example. He has only been a sergeant for two years and doesn't work half as hard as I do. My whole career, I've worked the front lines and put in extra hours on a routine basis. Sgt. Jones never dodged a bullet in his life, and he certainly never put in an hour of his own time. Jones has the right sponsor; so now he's a sergeant at SWAT while I'm probably gonna go back to patrol as a sergeant. I should have stayed at SWAT as a police officer, at least then I would be in charge of my own future." You thanked Jim Driggs for his comments, and

you told him that you would look into things. You decide to wait for more facts before you approach the “corner cafe meetings” issue.

Later that day at the supervisors’ meeting, your assistant chief announces that he had selected Day Watch Officer Janice White as Officer of the Month. After the news spread through the station, you heard that Narcotics Officer Mike Lark had gone storming out of the building, grumbling that White wasn’t half the worker he was. You found him outside and said, “Tough break, Mike. I know you wanted that pretty badly.”

“No.” he replied, “It’s no big deal. That whole competition is political anyway. In fact, I’m glad I didn’t get it. Now people won’t expect so much out of me. This takes the heat off of me to perform all that ridiculous paperwork. I’ll just go about my business as usual, another day another dooper.”

He had not done a very good job of disguising his bitterness. As you tried to figure out what to do next, you thought to yourself, “I wonder what my second day in Narcotics will be like?”

I. (Step I) **Identify** the **Areas of Interest**.

Remember that Areas of Interest are the problems, opportunities, or decisions that would compel you, as a leader, to act. Good Areas of Interest should stand-alone, be specific to the scenario, and be from the leader's perspective.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. (Step II) **Analyze**. Which theory(ies) help you to organize and make sense out of what you observe in this situation? What are the relevant variables, and how do they help you make sense out of what is going on? What is the logical chain of events and the root cause?

Consider each of the theories we have addressed in this program thus far: Adult Development, Generational Differences, Attribution, Equity, Expectancy, MTC, Job Redesign, Goal Setting, Cognitive Evaluation Theory, and Effective Followership.

If you can use a theory to understand the situation, list the following:

A. To whom (which character) the theory applies, and

B. How the theory applies to the scenario in terms of that theory's relevant variables or components. (The variables and components are the analyses introduced with each theory in its respective lesson.)

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

III. (Step II) **Explain** the effect of the relevant variables on motivation, performance, and satisfaction using the theory(ies) you think are most useful in this situation.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. (Step III) **Select** the theoretical leader strategy(ies) that will be effective in this situation.

Again considering all the theories we have learned so far, select the theoretical leader strategy(ies) you believe will be most effective for addressing the Areas of Interest in this scenario.

Apply the theoretically correct leader strategy(ies) to the situation in the form of a specific leader plan.

Address all the Areas of Interest you have identified, and translate the theoretical leader strategies into specific actions you would take and communications that you would send to the employee(s) of interest. What will you do and say to whom, when, where, and how? What do the theoretical leader actions look like in practice?

VI. (Step IV) ***Assess*** and evaluate the effectiveness of your leader plan, revise as needed in practice.

After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, "What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?"

AREA II OVERVIEW THE GROUP SYSTEM

- Lessons
11. Groups as Open Systems
 12. Group Development
 13. Socialization
 14. Cohesion
 15. Decision-Making in Groups
 16. Intergroup Conflict
 17. Integration II

AREA OVERVIEW

As we have seen in this course and experienced throughout our lives, the process of influencing human behavior is difficult and complex. This leadership challenge is further complicated when leading groups of individuals. These groups often develop and exhibit behaviors that are not evident in solitary individuals. For example, in a highly cohesive unit, the group as a whole may excel at accomplishing what single individuals, by themselves, could not. However, a highly cohesive group may develop methods of operation and goals that are incongruent with the organization, creating a leadership challenge more critical and difficult to resolve than any individual motivation issue discussed to this point. Nevertheless, in each of these cases, leaders must understand and manage group processes to build functional, effective work groups that satisfy individual, group, and organizational expectations.

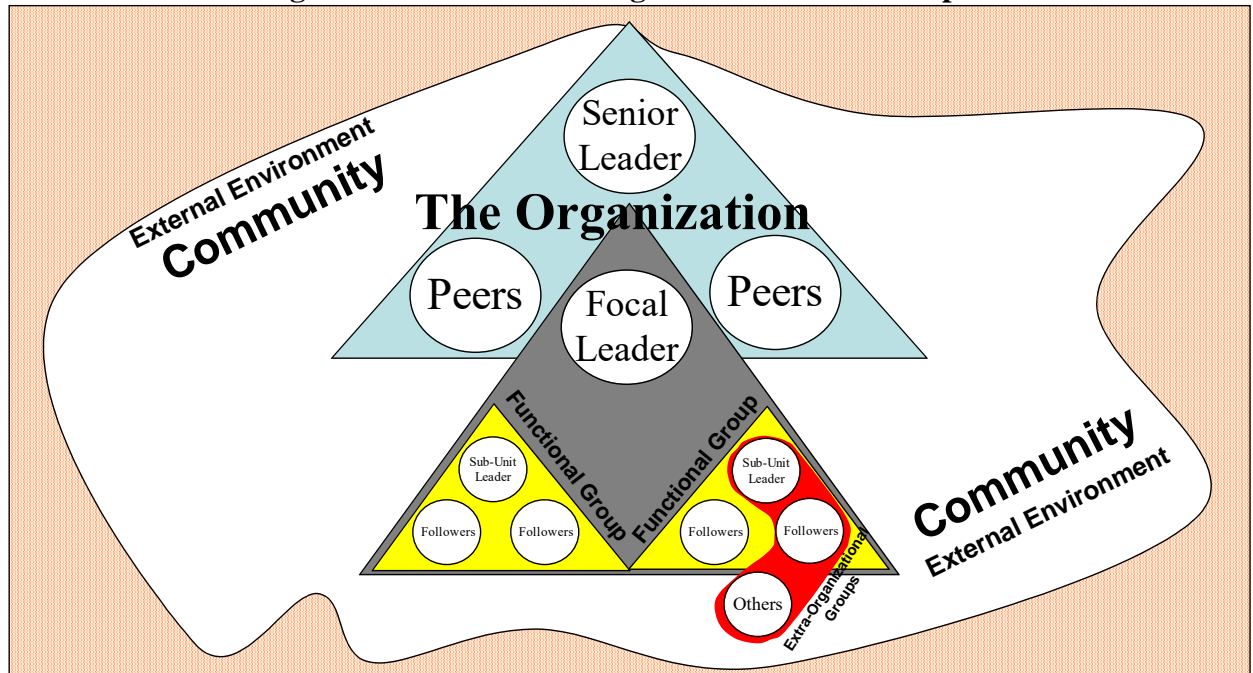
Effective leaders must be capable of pulling together individuals of diverse backgrounds, personalities, abilities, training, and experience molding them into cohesive, high performing teams. The challenge is to bring all of the unique contributions of individual group members together in such a way that the whole will equal more than simply the sum of the parts.

“Four brave men who do not know each other will not dare to attack a lion. Four less brave men, but knowing each other well, sure of their reliability and, consequently, of mutual aid, will attack resolutely.”

—Ardant DuPicq

Recall, if you will, the Model of Organizational Leadership. Note the position of both functional (sometimes referred to as formal) and extra-organizational groups in the structure of the organization (Figure 3).

Figure 3. The Model of Organizational Leadership



Because groups are a critical building block of organizations, their efficiency is directly related to an organization's success. Consequently, the leader's ability to form, develop, and lead functional and effective groups is absolutely essential if the organization's mission is to be accomplished. Knowledge of group dynamics, then, is paramount for both effective leaders and organizations. In Area II, we will concentrate on these processes, further honing your abilities as a leader.

LESSON 11: GROUPS AS OPEN SYSTEMS

Introduction

This lesson consists of:

1. Groups as Open Systems
2. Structural Dimensions of a Group
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 3-14.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Groups as an Open System.
 - A. **Identify** the Group Structural Dimensions evident in the situation.
 - B. **Describe** the interdependence among the components of the Groups as Open Systems Model (GOSM) (Figure 19) and the Group Structural Dimensions that are evident in the situation.
 - III. **Explain** an Area of Interest in terms of how the Group Structural Dimensions evident in the situation affect individual performance, satisfaction, and motivation; group performance; and organizational performance—the outcomes of the GOSM.
3. **Complete a Student Journal entry** for Groups as Open Systems.

Think of your current work group. This can be any formal established group in your police department with an organizationally appointed leader and at least several group members of which you are, or have been, a member. Using this group, identify and describe each of the five Group Structural Dimensions as exhibited in your group. How have (or do) each of these dimensions influenced individual performance, satisfaction, and motivation; group performance; and organizational performance? What is the leadership significance of these Group Structural Dimensions for your work group?

GROUPS AS OPEN SYSTEMS

Now that we have studied the basics of leading individuals in Area I, we might be tempted to believe that we are now ready to lead a group of individuals. However, groups are different from the mere aggregate of individuals. Sometimes groups can be a real benefit when we profit from their teamwork, synergy, and other positive group phenomena. Other times, however, the fact that we are leading a group may produce results that are dramatically less than we would expect, given the pool of individual talent available.

To provide a framework for this study of groups, we invoke a concept used in Area I—the Open Systems Model. In Lesson 3, we studied the Individual as a Psychological System, focusing on the way different individuals take inputs from the environment, process them, and produce similar or dissimilar outputs. In this area, we use a similar framework to study how groups, as systems, take their inputs and transform them into outputs.

Figure 19 represents the **Groups as Open Systems Model (GOSM)**. It is derived from the vast body of research accumulated in the area of group dynamics and it captures most of the variables leaders need to consider. Figure 19 presents seven sets of variables critical to the analysis of groups. There are two major types of inputs to the group: personal or individual characteristics and situational characteristics. The group throughput processes are divided into two main classes of variables: group structural dimensions and group process variables. The outputs of a group are divided into three main classes of outcomes: 1) effects on individuals, 2) effects on the group itself, and 3) effects on the organization. These variables will now be examined in greater detail.

Personal or individual characteristics include all of the individual strengths and weaknesses (knowledge, skills, abilities, biases, values, and beliefs) that people bring with them to the group. In one sense, this is the talent pool that we have to work with: the raw materials. As with any transformation process, the caliber of the raw materials has a lot to say about the final product. It is generally easier to produce a high quality group product when you start with high quality people. Not only the quality but also the relative diversity of the inputs has a major impact on our tasks as group leaders. For example, the problems that face a SWAT team leader who is responsible for a team of highly specialized officers are different from those that beset an academy training officer with a brand new crew of police trainees.

Situational characteristics are also an important determinant of group dynamics. From the physical surroundings to the size of the group itself, there are a number of factors that influence how groups behave. For example, consider the critical impact that the nature of the task has on groups. The midnight watch might be extremely efficient at suppressing crime in their district but fail miserably when asked to control crowds at a political demonstration.

This lesson's focus, group structural dimensions, is our next step. While we will discuss these in greater depth in our next reading, they are the five fundamental characteristics of any group. A single dimension by itself does not always spell success or failure for the group, but their interaction will. For example, *high cohesion*, the force that binds a group together, can have both positive and negative effects on a group's performance. The positive or negative impact is jointly determined by cohesion and *norms*, the informal rules and goals that guide a group. Low performance norms combined with high cohesion spell problems for the leader, while high cohesion and high performance norms lead to high

performing groups. Structural dimensions, then, have an impact on performance because they impact the intervening variable, group process.

Group processes continuously interact within a group. People talk to some individuals in the group, but not others; stable communication patterns form that may or may not reflect formal organizational lines; informal leaders emerge; cliques may form; some people in the group may become more powerful than others. Groups themselves may become major sources of rewards or punishments for individual members. These are all examples of group processes. Each one of these examples in turn may have either a positive or a negative effect on whether the group succeeds at its organizationally appointed mission. Let's look again at our high cohesion and low performance norms example. This combination actually causes the group to suppress some of the natural knowledge, skills, and ability that are in the talent pool. Because the group is cohesive, external rewards and punishments may be far less effective than those that the group administers internally.

Group processes change over the life of the group. What is an important issue early in the life of a group might be a non-issue at some later point in time. As groups mature, they pass through somewhat predictable stages of development. Knowing where a group is in its development helps leaders to understand what's needed to help the group progress to more mature stages. However, it is difficult to understand what stage a group is in without first understanding the basic building blocks of groups: group structural dimensions.

Group structure and group processes form the center of our group system. They are completely interdependent, and a small change in one can have a major impact on the other. Thus, leaders can have a major impact on the group. For example, certain sub-groups within a district (e.g., watches) may constantly argue or compete with each other in a manner that is dysfunctional to the department's overall mission. From this observation of group process, low cohesiveness and dysfunctional norms about competition and cooperation might be inferred. Altering group structural dimensions to fix the problem will make the group process support the mission instead of hindering it.

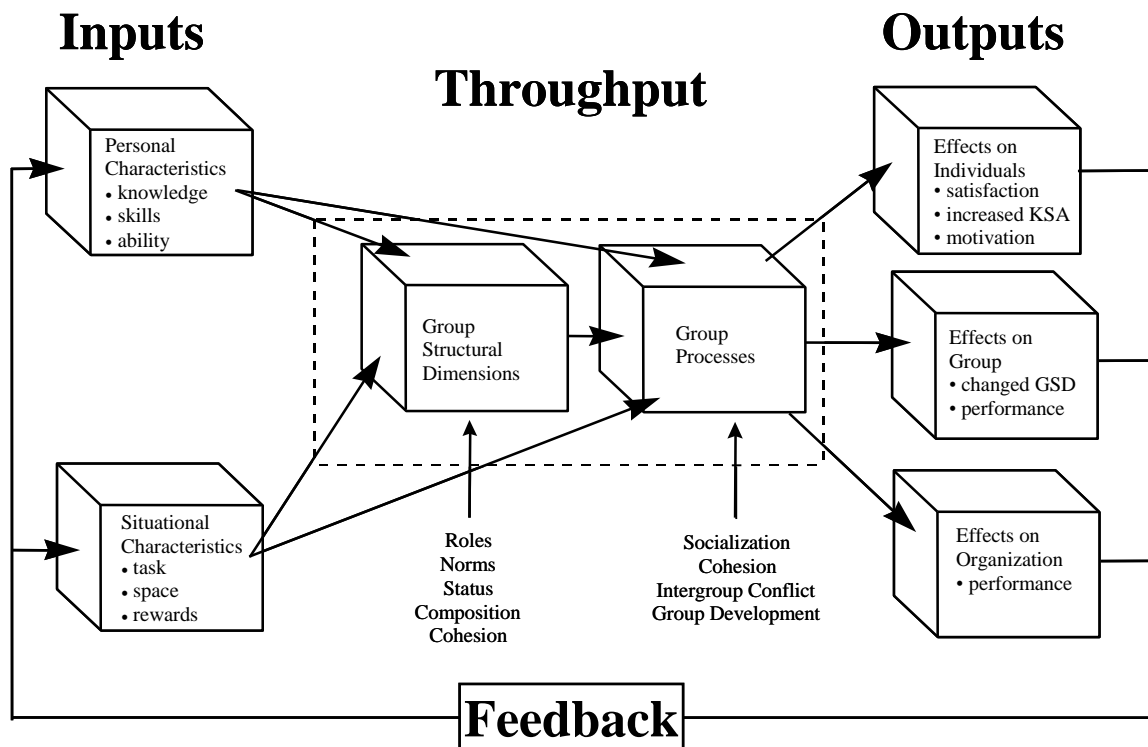
The final focus is on the outputs we can expect from groups. As Figure 19 illustrates, there are three categories of outputs. We are concerned with the effect the group has on individual members, the group itself, and the organization's mission because leaders attempt to close the gap between individual needs and the needs of the organization. Members join groups often voluntarily because membership fills some individual need or desire. These members don't hesitate to quit a club or informal group that becomes a burden or is dissatisfying. Likewise, police officers can quit their jobs. But worst of all, some will quit mentally or psychologically if the group no longer meets their needs, thereby potentially endangering the lives of fellow officers. Therefore, leaders must be concerned with the group's impact on member satisfaction. In addition to satisfaction, groups can either enhance or attenuate individual member knowledge, skills, and abilities. As a matter of fact, many groups form primarily for these very reasons. Computer groups, chess clubs, and study groups are all examples of these types of groups. On the other hand, you have probably belonged to at least one group where you just couldn't seem to live up to your potential or where you were stifled, bored, or frustrated. Therefore, good leaders strive to meet the needs of their followers so that they in turn can live up to their own potential.

On the other side of the leadership gap is the organization's mission. Groups in police departments are not usually formed for fun and fellowship; they are organized, equipped, and trained to accomplish a mission. Therefore, the process of effective leadership

is all about influencing the group to accomplish its mission to the highest possible standards of performance.

Lastly, changes to the group have an effect on a group's structure and processes. New norms form over time. Status in the organization may shift as members spend more time together. Roles shift and adjust (perhaps in response to personnel turbulence). All of these outputs are evaluated and fed back to the group. The parent organization might reward high rates of mission success. These rewards, in and of themselves, are perceived as a change in the situational characteristics. If one output from the group is the production of better, smarter, more technically competent officers, then, when considering the group over a period of time, the individual inputs may have shifted dramatically. This feedback process is what makes groups dynamic and is also fundamental to their development over time.

Figure 19. The Groups as Open Systems Model (GOSM)



STRUCTURAL DIMENSIONS OF A GROUP

We've described the group as an interactional subsystem of the larger organizational structure. Now let's move on to the component parts of the subsystem—the structural dimensions. Structural dimensions in a group context can be compared to a machine. For the machine to function efficiently, all the components must work well. It's the same for a group; all of its structural dimensions must be in good working order. Individual roles, individual status, group norms, group composition, and cohesion among individuals—these are all dimensions that leaders must understand if they're to influence group process. We'll examine each dimension separately and then tie them all together by looking at their influence on the group's performance.

Individual Roles

In an efficiently functioning group, each member usually has a mutually agreed on position with certain responsibilities. Recall that in the Model of Organizational Leadership, the leader holds a central position in the group and is responsible for ensuring that the group contributes to the goals of the larger organization. To accomplish this, the leader usually assigns specific tasks to each group member. One group member, for example, may be in charge of supplies. He or she may need to maintain inventory, distribute items, keep usage records, and reorder items. Together, these tasks define responsibilities to the group or what's called the individual's role in the group. Specifically, a *role* is defined as a “pattern of behavior expected of a person when he or she interacts with others.”¹

When we're given a task to perform in a group, it may seem straightforward at first. But we soon discover that tied to the task is a whole network of expectations and perceptions. Certainly the individual has a perception of his or her own responsibilities, but that perception may not match the leader's perception. So tensions or conflicting expectations may result. And when there are incongruities regarding a task, *role ambiguity* exists. That is, the group member may not be sure how to carry out his or her task. Ambiguity may also exist between this person's expectations of other group members' behavior as well as their expectations of his or her behavior. In a nutshell, things can get tricky fast!

On the other hand, when the group member is sure about expectations, there's *role clarity*. To have an efficient work group, role clarity among members is essential. When people aren't sure of their role, they tend to have more job stress and tension and less job satisfaction.²

Here's something else to consider: there may be times when a group member gets conflicting directions from more than one source. The chief may issue one order but the shift sergeant may issue another. Which order should be followed? The group member is being pulled in two directions at once and is now facing a dilemma known as *role conflict*. Like

¹ Duncan, W.J. *Organizational Behavior* (Boston: Houghton Mifflin, 1978), p. 184.

² Duncan. *op. cit.*, p. 186.

role ambiguity, role conflict can negatively affect individual behavior. People feeling role conflict may withdraw from the group, show signs of emotional stress, and experience lower morale and satisfaction.³

The leader, in order to have an optimally functioning group, must clearly communicate to all members what's expected of them. In addition, the leader must be sensitive to cues that indicate role conflict. It's not uncommon to hear the comment that a certain person or group really "has it together." A group that "has it together" is one in which the group members, leader, and peers' perceptions of task assignment are in sync.

Individual Status

Depending on the group, some members may have more rights and privileges than others. Maybe one member has a private office with a window instead of a cubicle; maybe someone has a larger desk; or maybe someone has access to special facilities that aren't available to others. These rights and privileges are usually a reflection of social ranking within a group. We call this status. Status is generated by group interaction and an informal framework based on how much the individual is thought to contribute to group goals. It may also be generated by implied value through seniority. Here's one truism about status: it requires compliance with group expectations. A member's rank and privileges carry little weight when compared with violations of group expectations of a particular role.

In any organization, there are several formalized, widely recognized indicators of status.⁴ Job title is an important one. The titles chief executive officer, commander, and director all indicate status positions, while assistant or deputy clearly indicate lesser status. Subtler is the prestige associated with certain job titles. For example, in our society professors have more status than librarians; electricians have more status than bus drivers.

Higher pay usually indicates higher status—as does how one is paid. In industry, salaried workers are usually thought to have more status than those who receive an hourly wage. Highest status people, however, measure income by yearly statistics.

Special privileges are another indication of status. There's more prestige associated with eating in the faculty lounge than in the student cafeteria, for example. Job factors such as cleanliness of the work area, freedom from supervision, advanced levels of training and skill, and good opportunity for promotion all suggest higher status. And then there are symbols: the physician's white coat, police officer's rank, the uniform of elite military forces (such as green berets represent status positions as well. Since status can often be based on perception, the above examples are certainly not all-inclusive. Each group has its own list, although interestingly, we do find a lot of similarity between groups in our society.

Leaders have a unique opportunity to create and bestow status within a group. The leader must, however, be sensitive to the status indicators already at work.

Status provides ego rewards and social satisfaction. It also offers security and predictability by helping people know where they—and others—stand. In addition, it makes contacts between people easier.⁵ If the status system isn't working right, the leader can expect to run into morale problems. So it's crucial that status indicators remain clear and

³ *Ibid.*, p. 188.

⁴ Sayles, L.R. and G. Strauss. *Human Behavior in Organizations* (Englewood Cliffs, N.J.: Prentice-Hall, 1966), pp. 95-97.

⁵ *Ibid.*, p. 98.

consistent. As indicated by our discussion of individual motivation through reward and punishment, discrimination of status is expected within a group. If a leader's actions upset the established system of reward and recognition, those actions may lead to status incongruence, a situation that can provoke anxiety on the part of group members.

Another cautionary note for leaders is that status systems tend to change over time. When a status symbol loses its importance, insecure feelings on the part of group members whose status was tied to the altered symbol may emerge. Here's an example: The seemingly inconsequential act of opening a previously restricted parking area can wreak havoc among executives who considered those spaces their own. Leaders should also note that if status is given too much emphasis, it could widen the gap between high- and low-status group members. And that gap can prevent and inhibit communication among members.

Group Norms

Which behaviors are acceptable to the group and which are unacceptable? How much effort should I put into my work compared with my peers? Does the group start working right on time or does it spend a few minutes talking and joking first? These are some questions a group member may have, and yet these questions won't be answered in any formal way. That's because they're "rules of conduct established by the members of the group to maintain behavioral consistency."⁶ These rules of conduct, or norms, are the unofficial laws of the group. Without established norms, the group will very likely be in chaos.

Essentially, norms serve dual purposes. They guide the behavior of the group, and they also guide each member's behavior. Norms help group members anticipate each other's behavior and so decrease the amount of ambiguity experienced by members.⁷ Norms are not legislated; they emerge as events occur and as the group develops.

To further understand how norms develop and influence behavior in groups, four factors have been identified:⁸

1. *A group doesn't create norms about every conceivable situation*—only about things that are significant to the group. For example, the group may not care what someone eats for lunch as long as the group eats lunch together.
2. *Norms may apply to every member or only to certain members*—that is, they may be role specific. To continue the example used above, leaders are not expected to eat with the group, yet members are.
3. *Norms vary in importance among group members.* Part of the group may feel strongly about lunch, while others don't.
4. *Norms vary in the amount of permissible deviation from expected behavior.* When a person goes beyond a permissible range, a sanction is usually applied. A group member may miss an occasional meal, but when he or she does so on a constant basis, that person risks becoming the butt of practical jokes or malicious gossip.

⁶ Shaw, M.E. *Group Dynamics* (New York: McGraw-Hill, 1976), p. 250.

⁷ *Ibid.*, p. 250.

⁸ *Ibid.*, p. 251.

Although practical and useful to groups, norms can sometimes be dysfunctional to the organizational leader. An example is when group norms directly conflict with the group's goals. A group norm to limit output in order to enjoy a more leisurely work pace would force the group to perform at much less than its optimum level.

Leaders need to be aware of informal rules of behavior—reinforcing those that support an organization's goals and trying to deter those that undermine them. Since these norms belong to the group, the leader needs to move carefully when trying to accomplish the latter.

Group Composition

The makeup of groups is generally either *homogenous*, in that it reflects a collection of people with similar degrees of abilities, skills, resources, and social makeup, or it is *heterogeneous* because the group members possess characteristics that are totally different. Which kind of group is more effective?

The answer isn't simple. In a homogeneous group, people tend to think similarly and have consistent values and needs. So there's relatively good communications among the group members and very little conflict.⁹ On the other hand, this homogeneity may result in too much conformity and that can have a stifling effect on productivity.

Because of the members' diversity, in heterogeneous groups there are not only different skill sets but also different approaches to solving problems. As a result, it's common to find instances of conflict and communication lapses. The product of the heterogeneous group, however, is usually more imaginative.

Group performance has been found to be a function of the type of group combined with plus the type of task. Where the task is relatively simple and routine, homogeneous groups tend to perform more effectively than heterogeneous groups. Conversely, when the task is complex and requires a diversity of problem-solving approaches, the heterogeneous group tends to be more effective.¹⁰

The size of a group is another factor to consider. Research has shown that relatively small groups (when compared to larger groups) are likely to be accompanied by less perceived need for a leader's guidance; less perceived ability of the group as a whole; fewer ideas expressed by members; fewer perceptions of the leader as the one who coordinates behavior, clarifies rules, or delegates authority; and greater perception of the group's success.¹¹

As the group gets larger, however, this all changes radically. The range of abilities, knowledge, and skills available to the group increases; the amount of time available for each member to participate in group activities decreases; there's greater differentiation between the most active person in the group and the others (suggesting that the group is becoming more structured); group members become less attracted to the group and have more tension and less satisfaction than members of small groups; it's harder to achieve consensus; and group effectiveness grows with size when the task is either additive (the result of some combination of individual products) or disjunctive (at least one person performs the task).

⁹ Davis, J.H., *Group Performance* (Reading, Mass.: Addison-Wesley, 1969), pp. 74-86.

¹⁰ Steiner, I.D., *Group Process and Productivity* (New York: Academic Press, 1972), pp. 106-127.

¹¹ McGrath, J.E. and I. Altman, *Small Group Research* (New York: Holt, Rinehart & Winston, 1966), p. 59.

Yet group effectiveness usually lessens with size when the task is conjunctive (everyone must accomplish the task together).¹²

While group size has important implications for the leader, the question is not whether a small group is better than a larger group but how the nature of the task affects the optimum group composition.

Group Cohesion

A group's effectiveness is partially determined by the mix of appropriate skills and abilities. Yet there's more to effectiveness than the talents of individual members. The group needs to work as a team. More precisely, the group needs to show *cohesiveness*, which is defined as the power of a group to think and act as a single unit in pursuit of a common objective.¹³ Expanding on this definition, D. Cartwright, an organizational psychologist, notes the following:

The members of a highly cohesive group, in contrast with one with a low level of cohesiveness, are more concerned with their membership and are therefore more strongly motivated to contribute to the group's welfare, to advance its objectives, and to participate in its activities. Cohesiveness contributes to a group's potency and vitality; it increases the significance of membership for those who belong to the group.¹⁴

In essence, cohesiveness is the glue that keeps the group together. Five factors that increase group cohesiveness include the following:¹⁵

1. *Agreement on group goals.* This binds the group together and structures interaction patterns toward successful outcomes.
2. *Frequency of interaction among group members.* This increases the chances for closeness to develop.
3. *Personal attractiveness to one another.* This helps members overcome obstacles to goal accomplishment and personal growth and development.
4. *Intergroup competition.* This brings the group closer together.
5. *Favorable evaluation of group performance.* This serves to elevate the prestige and worthiness of the group in the eyes of its members and other members of the organization.

Conversely, five factors found to decrease group cohesiveness include the following:¹⁶

¹² Shaw, *op. cit.*, pp. 155-162.

¹³ Walker, C.R., R.H. Guest, and A.N. Turner. "Work Groups on the Assembly Line," in *Organizational Behavior and the Practice of Management*, eds. David R. Hampton, Charles E. Summer, and Ross A. Webber (Glenville, Ill.: Scott, Foresman, 1968), pp. 329-332.

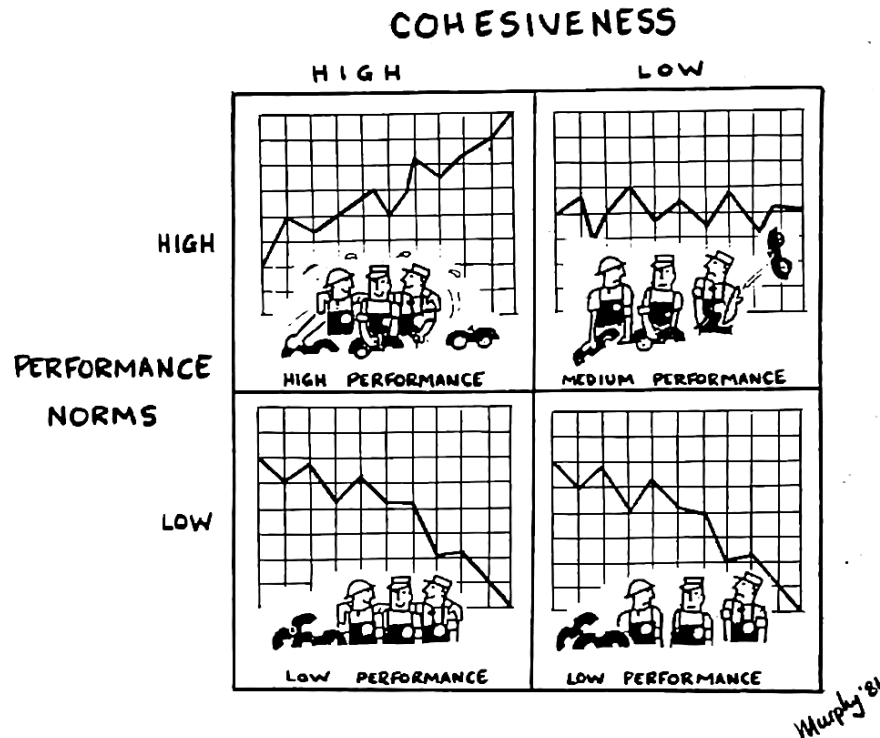
¹⁴ Cartwright, D., "The Nature of Group Cohesiveness," in *Group Dynamics*, eds. Dorwin Cartwright and Alvin Zander (New York: Harper & Row, 1968), p. 91.

¹⁵ Ivancevich, Szlagyi, and Wallace, *op cit.*, pp. 216-217.

¹⁶ *Ibid.*, pp. 217-218.

1. *Disagreement on goals.* This causes conflict and infighting.
2. *Group size.* As the size of the group increases, the frequency of interaction between members decreases.
3. *Unpleasant experiences with the group.* This lessens the attraction level, resulting in a lack of trust.
4. *Intragroup competition.* This causes conflict and infighting.
5. *Domination.* When one or more of the members dominate, cliques tend to develop.

Figure 20. The Interaction of Group Norms and Cohesion



So what's the nature of the relationship between group cohesiveness and performance? If a group has a high degree of cohesiveness and a norm that favors high performance, we can expect a high level of performance. If, however, the norms of a highly cohesive group favor low performance, then we can expect an actual reduction in performance. For groups with low cohesion, group norms don't have as much influence on performance as they would in groups with high cohesion. The Murphy cartoon in s Figure 20 depicts this phenomenon.

Name: _____

Complete a Student Journal entry for Groups as Open Systems.

Think of your current work group. This can be any formal established group in your police department with an organizationally appointed leader and at least several group members of which you are, or have been, a member. Using this group, identify and describe each of the five Group Structural Dimensions as exhibited in your group. How have (or do) each of these dimensions influence individual performance, satisfaction, and motivation; group performance; and organizational performance? What is the leadership significance of these Group Structural Dimensions for your work group?

LESSON 12: GROUP DEVELOPMENT

Introduction

This lesson consists of:

1. Group Development
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 15-36.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Group Development Theory.
 - A. **Identify** the task and relationship issues that are evident in the group's behavior.
 - B. **Classify** the group's stage of development.
 - III. **Explain** how the group's stage of development influences the group's individual, group, and organizational outputs.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
3. **Complete a Student Journal entry** for Group Development Theory.

Think about your current work group. What task and relationship issues do you see? What stage of development is your work group in? What is the impact of this stage on individual, group, and organizational outcomes of the group? What theoretical leader actions are appropriate for your group? Describe what leader action(s) you currently see in your work group. Are they in sync with Group Development Theory? What leader actions could be taken to enhance individual, group, and/or organizational outcomes?

GROUP DEVELOPMENT

Just as people do, groups develop and mature over the course of their lives. We'll look at how they do this and how leaders may affect the maturity process. We'll then know just what the role of the organizational leader is in achieving *group influence*—influence that supports the accomplishment of the group's goals. There are basically four stages of group development:

1. Orientation
2. Internal problem solving
3. Growth and productivity
4. Evaluation and control¹⁷

¹⁷ Ivancevich, J.M., A.D. Szilagyi, Jr. and M.J. Wallace, Jr., *Organizational Behavior and Performance* (Santa Monica, CA: Goodyear Publishing, 1977), pp. 196-197.

As a group moves through these stages, the issues facing the members can be put into two categories: *task activity*, or what the group is doing, and *relationship activities* or how group members get along while doing their task. As they confront these issues, there are predictable effects on group structure variables. This sequence of events opens the door to certain leader actions that can ease the transition to the next and more effective stage. Let's have a look at each of the four stages. The table in Figure 21 summarizes this material and may help you organize your thoughts as you read.

Figure 21. Stages of Group Development

Stage	Progression	Issues of Task Activity	Issues of Interpersonal Relations	What Happens to Structure?	What Leader Actions are Appropriate?
Orientation		<ul style="list-style-type: none"> • Developing goal orientation • Learning roles and task requirements • Determining energy expenditure 	<ul style="list-style-type: none"> • Determining level of intimacy 	<ul style="list-style-type: none"> • Communication networks become aligned • Cohesiveness develops • Informal group leadership emerges 	<ul style="list-style-type: none"> • Clarify, facilitate, evaluate and coordinate goal, role and intimacy issues among members
Internal Problem Solving		<ul style="list-style-type: none"> • Achieving consensus of goal orientation • Finalizing preparation for achieving agreed upon goals 	<ul style="list-style-type: none"> • Resolving dependency issues • Negotiating roles • Forming coalitions • Resolving conflict 	<ul style="list-style-type: none"> • Norms, cohesion and communication continue development • Roles are assigned and accepted 	<ul style="list-style-type: none"> • Facilitate consensus building • Manage dependency, role negotiation, coalition and conflict issues
Growth and Productivity		<ul style="list-style-type: none"> • Accomplishing the task(s) • Collective problem solving 	<ul style="list-style-type: none"> • Encouraging conformity • Controlling deviance 	<ul style="list-style-type: none"> • Norms are enforced • Status is granted based on contribution 	<ul style="list-style-type: none"> • Orient group activity toward relevant tasks by respecting goals, attending to needs and developing beliefs • Avoid dominance • Encourage deviance when appropriate • Use informal task and social-emotional leaders • Condition group where appropriate
Evaluation and Control		<ul style="list-style-type: none"> • Collectively examining the group to determine how it is accomplishing the task • Correcting weaknesses 	<ul style="list-style-type: none"> • Experimenting with new freedom from group sanctions 	<ul style="list-style-type: none"> • Rigid structure diminishes 	<ul style="list-style-type: none"> • Point out problems • Facilitate group process • Fade into background

Orientation Stage

When individuals join a functional group, they're first concerned with the psychological and tangible rewards of membership, the goals they must pursue to secure those rewards, and the costs of pursuing the goals. This first issue of task activity is called *goal orientation*. Consider the following example. A man joins the Catholic priesthood. One of his rewards may be a sense of satisfaction for serving others in a truly unselfish way. But in order to pursue his religious calling, he must first go through a great deal of formal education and

training. And a cost he must consider is the vow of celibacy. Everyone entering the Catholic priesthood must accept these conditions. All groups—to one degree or another—conduct a similar orientation process for new members.

The second issue of task activity during orientation is learning member roles and task requirements. For those who join established groups, old group members are important sources of information as are the boss and written procedures and policies. For a new group, members must in some way agree on the roles each will occupy. They need to answer the question: “What are each person’s individual abilities, talents, weaknesses, and social connections that can help make the group effective?”

A third issue of task activity is the amount of energy that must be spent within the group to achieve desired outcomes. The greater the importance of group goals to its members, the more energy members will generally spend, and the greater the expectation to reach those goals. If a basketball team, for example, wants to become world champs, and they believe they’ve got the talent and coaching to do it, their energy input will probably be enormous. The efforts of a single person alone are usually not enough to do it. It’s only through synergy that a group may move through the stages of group development and reach its ultimate goal.¹⁸ *Synergy*, the sum of individual energy inputs toward a common goal, may propel a basketball team to the championships. But for the individual, the question to answer during the Orientation Stage is, “How much energy do I need to contribute for the group to meet its goal?”

When a person meets group members for the first time, interpersonal relations issues arise. Questions like “Where are you from?” and “How do you spend your spare time?” are often asked of the new member while that same member tries to put his or her best foot forward. New members care about belonging and acceptance. Older members are assessing the perceived contribution of new members. And both sides may want to determine just how close they’ll be with the other.¹⁹

During the Orientation Stage, group synergy divides itself between task and relationship issues. And so a new group structure may emerge. Communication networks begin to align, cohesiveness may build, and the leadership function becomes clear. This last point is of special interest to the formally appointed group leader. The emergence of informal leaders during orientation may be due to factors that seem minor but are actually of major importance to the group, particularly in its formative stage.²⁰

For example, the oldest member of the group may be thought to have more experience at the job and thus have higher status and prestige, or another member may have a strong desire to tackle a certain problem and handle it. Informal leaders can be very useful to the appointed leader in this formative stage if they have the leader’s confidence.

Sometimes, however, leaders can emerge based on criteria that are not useful to the group, even harmful. Sometimes an emerging leader is more interested in personal dominance of the group than in anything else. There’s more to come on this topic of

¹⁸ Cattell, R.B., “Concepts and Methods in the Measurement of Group Syntality,” *Psychological Review*, 55, (1948), pp. 48-63.

¹⁹ The theme of intimacy recurs throughout the group processes literature. For a more complete review see W.G. Bennis and H.A. Shepard, “A Theory of Group Development,” *Human Relations*, 9, (1965), pp. 415-457.

²⁰ Wattendorf, J.M. “Interpersonal Similarity/Dissimilarity Bonds: An Expectation-States Approach,” (unpublished Ph.D. dissertation, Stanford University, 1979), p. 10.

informal leadership as we discuss the Growth and Productivity Stage of group development.

Leaders of formal groups in the Orientation Stage must be concerned with four processes:

1. Clarifying
2. Facilitating
3. Evaluating
4. Coordinating

If managed the right way, each of these four processes can increase the commitment of individual members.

Leaders who teach new workers how to work a piece of equipment or explain that workers can earn rewards for engaging in a particular activity are clarifying. They're making clear the task requirements and the organizational rewards connected with task accomplishment. This process can increase group synergy, especially if group effort is needed for high performance. In contrast, competitive efforts for scarce resources such as promotions may actually reduce synergy. Leaders also facilitate. That is, they may ease the working relationships between old members and new. Specific ways the leader can facilitate, such as team building and goal clarifying, are described in our lesson on group cohesion. Leaders must also evaluate the level of knowledge and skill that members have in order to effectively use their assets. And finally, coordinating training programs to address the shortfalls noted from the evaluations is also a necessary leader function during this stage.

Internal Problem-Solving Stage

As problems crop up during the Orientation Stage, group members begin to confront and resolve them. This process is known as the Internal Problem-Solving Stage of group development. Within any group, a common issue is gaining consensus about the group's goals—thus assuring members that they can achieve the very goals they joined the group for. Ideally, everyone should be working toward the same outcome. Developing a consensus is clearly shown in political caucuses where party members develop unanimous opinions on platforms, usually after some struggle.

How much success a group has in bringing its members to a consensus is largely a function of cohesiveness as well as the collective pressure that's put on members. The pressure often takes the form of subtle interpersonal sanctions or implied sanctions, such as jokes or reduced interaction with new members. Sanctions can also be direct and severe—as direct and severe as asking someone to leave a group.²¹ Remember what we learned earlier about group norms.

As a result of internal problem solving, a group finalizes its preparation for reaching mutually agreed on goals (another task issue). Structurally, this means that roles are assigned to each group member and duties specified according to capabilities. Consider the following

²¹ Roethlisberger, E.J. and W.J. Dickson, *Management and the Worker* (Cambridge, MA: Harvard University Graduate School of Business Administration, 1956), pp. 422-423.

example. For a group project for class, the member who's most adept at solving math problems is given the responsibility for all computations, while another member, the most skilled at writing, is chosen to write the final report. Others do the conceiving and thinking. If group members feel that their desires and skills are reflected in their new roles and duties, they're likely to accept and be committed to them.

Role acceptance also depends on the successful resolution of interpersonal relations issues. Other peoples' influence attempts, for example, may be resisted by some while others easily concede. Some people want autonomy in their work; perceived over-supervision is often seen as a lack of trust. The bottom line, though, is that group members must learn to accept reasonable influence attempts if they're to gain rewards that come with membership. In other words, there has got to be some dependency if the group is to function effectively.²² Interdependency ensures that both the leader and the group may rely on the unique contributions of each member as they begin to accomplish the group's mission.

If there's resistance to dependency on the appointed leader, it may show itself covertly through things like limited performance, the withholding of information, or backbiting. There might even be disagreements over trivial matters or minor tasks. Hence, one can see the importance of resolving dependency issues as well as intimacy issues during the Orientation Stage in forming a cohesive group. Likewise, this is an example of how the successful completion of one stage is a critical prerequisite to achieving the next stage.

Other interpersonal issues that usually come up in the Internal Problem-Solving Stage of group development relate to leader actions. These include role negotiation, coalition formation, and conflict resolution. How well these interpersonal issues are managed by the leader can determine the group's ability to organize itself to achieve goals, resolve dependency issues, and successfully move into the Growth and Productivity Stage. We'll zero in on these processes to determine how they're best managed by the leader.

In role negotiation leaders usually come to the group with some power to reward and punish. As long as followers want the benefits of group membership, they tend to choose to conform to their role expectations. However, when members can't or don't accept their expected role, role negotiation begins. A leader must attend to role negotiation or risk negative effects on group structure.

Studies show, for example, that when leaders use an authoritarian style of management and disregard members' expectations, group norms develop to express hostility and aggressiveness toward the leader.²³ Communication may also be restricted. A leader's failure to resolve his or her followers' concerns about roles can push the group back to the Orientation Stage, where followers question the value of their membership.

When members can't get their leaders to consider their expectations one-on-one, they may join with disaffected group members to consolidate their power. Using this power, they may try to force their leader (explicitly or implicitly) to consider their expectations. This process of gaining and using collective power is called *coalition formation*.²⁴ A classic example of this concept on a large scale is the union movement.

²² Bennis and Shepard, *op. cit.*, pp. 415-457.

²³ White, R. and R. Lippitt, "Leader Behavior and Member Reaction in Three 'Social Climates,'" in *Group Dynamics: Research and Theory*, eds. Dorwin Cartwright and Alvin Zander, 3d ed. (New York: Harper & Row, 1968), pp. 326-334.

²⁴ Shaw, M.E., *Group Dynamics: The Psychology of Small Group Behavior*. 2d ed. (New York: McGraw-Hill, 1976), pp. 100-105. 15 Ingraham, L.H. "The Boys in the Barracks: Observations on American Common Soldiers in Garrison," unpublished manuscript, Walter Reed Army Institute of Research, 1978, p. VI. 34.

Coalitions can also work against other group members—not just leaders. If, for example, a member objects to a group process or goal, other group members may poke fun at that person, putting the person back in his or her place. This happens most often in very cohesive groups. If, however, other members object to the way the deviant member is handled, two antagonistic coalitions may form within the same group.

These episodes illustrate two important points for the leader:

1. Leaders need to be alert for dependency (lines of authority) issues and establish a climate of open communication—so that members can voice their concerns. Failing to do this increases the chances of hostility and aggression between coalitions, or even toward the leader.
2. Unresolved dependency issues often lead to the creation of coalitions—a process that can be divisive if the leader doesn't attend to it.

When a group's work on one task or activity precludes the successful accomplishment of another, conflict generally exists and it must be resolved. This tends to happen when one organizationally generated task is superseded by another. It can also happen when a personal task is displaced by a group task.

It would make sense, you'd think, to bring conflicts like these to the leader's attention; however, followers often fear their predicament won't be understood or that it won't be resolved in their favor. They often feel that their complaining will be perceived by other members as a trick to avoid work. And followers sometimes think of themselves as incompetent if they need to ask for help.

People in these situations often feel trapped. As a result, both performance and personal satisfaction may decline. Hostility toward the perceived cause of the conflict, often the leader, is also very likely. When dependency situations hinder the expression and resolution of conflicting tasks, the whole group suffers.

Most conflicts, however, are between people. When two members of the same group compete for limited resources, such as a promotion or a tangible reward, conflict often results. And it can become more intense as the desirability and scarcity of the resources increase. Here's the catch: conflict can continue even after resource issues have been resolved and can thus poison the future performance of the group.

Organizationally appointed leaders may be oblivious to conflict even when it involves them, but this endangers the life of their group. A group locked in a lot of interpersonal conflict may never move past the Internal Problem-Solving Stage. Unless one of the conflicting individuals quits the group, a huge amount of energy may be spent handling the conflict, energy that could and should be devoted to task problem solving.

It's a crucial point for leaders: understanding and managing interrelated task and interpersonal issues are critical skills in the Internal Problem-Solving Stage of group development.

Growth and Productivity Stage

Once the internal problems of organizing work are resolved, the group normally begins to devote its full attention to the tasks at hand. As it does, it enters the Growth and Productivity Stage of group development. During this stage, the organizationally appointed leader takes

on the most direct role. It's his or her responsibility to make sure that the task the group applies its energy to is the task that contributes to organizational goals. Leader actions that maximize the probability of favorably orienting followers include displaying appropriate respect for the organizational goal, fulfilling individuals' needs within the required task, and developing group members' beliefs in an ideology or philosophy that supports the task activities.²⁵

Another aspect of the Growth and Productivity Stage is collective problem solving—that is, problem solving directed at accomplishing the group's specific task. There are a lot of advantages to using the group in problem solving. The most obvious one is that members represent a pool of resources to the group in the form of information and knowledge. Also, they bring different approaches and perspectives to the table. When a problem is complex and resolving it requires a variety of perspectives, the use of the group may result in superior outcomes.

Of equal importance are the interpersonal advantages of collective problem solving efforts. Group members' participation enhances their worth to others and demonstrates their value to the group. When dependency issues are resolved and there's improved communication,²⁶ the end result is usually greater member satisfaction. Remember that this satisfaction is one indication of an effective group. And because participating helps people understand the decisions that are made, how they're to be implemented, and the rewards they may bring, resistance to change (some of which is normal) is often greatly reduced through participation.²⁷ Moreover, something else to consider is that the ego boost people get from participating tends to create commitment to the resulting plan as well as more support during its implementation.²⁸

Yet with all these assets, there are still some liabilities that come with collective problem solving that need the leader's attention. For example, if group members don't see a clear advantage to engaging in this time-consuming and sometimes frustrating process, they may feel manipulated or dumped on, as if given a burdensome task without incentive.²⁹ A second liability is that one or more members may inhibit the quality of a group effort, either by domination based on rank or status (a particular problem when the dominating member is the appointed leader) by more subtle actions that sway others to the dominating person's point of view before other views can be considered. Goal displacement is a third liability, whereby someone tries to dominate or win arguments rather than accomplish the tasks or goals of the group.

But probably the subtlest liability of collective problem solving is a phenomenon called *groupthink*. Groupthink, the tendency for unanimity or "we-ness" to exist in close-

²⁵ Shils, E.A. and M. Janowitz, "Cohesion and Disintegration in the Wehrmacht in World War II," *Public Opinion Quarterly*, 12, (Summer, 1948), pp. 280-311, and C. Moskos, "Vietnam: Why Men Fight," *Transaction*, 7, (November, 1969).

²⁶ Bigg, J.R., "Defensive Communication," *Journal of Communication*, 2, (September, 1961), pp. 141-148.

²⁷ Coch, L. and J.R.P. French, Jr., "Overcoming Resistance to Change," *Human Relations*, 1, (1948), pp. 512-532.

²⁸ Mitchell, T.R., "Motivation and Participation: An Integration," *Academy of Management Journal*, 16, (1973), pp. 160-179.

²⁹ Hackman, J.R., "Group Influences on Individuals," in *Handbook of Industrial and Organizational Psychology*, ed. Marvin D. Dunnette, (Chicago: Rand McNally, 1976), p. 1514.

knit groups, can bar effective group problem solving. To really understand it, let's first take a look at how groups deal with deviancy.

Group members are usually reluctant to do or say anything that disrupts the cohesive relationships they've worked hard to create. So conformity, by and large, is a highly valued behavior. Furthermore, cohesive groups usually take swift action to deal with deviants. If rational arguments don't convince deviants to back down from their behavior, emotional seduction is sometimes employed. Statements such as "Let's not rock the boat," and "If it ain't broke, don't fix it" exemplify this tactic. If these ploys don't work, groups may then directly attack the deviants into submission, making the unmistakable point that good standing in the group depends on conformity. As a final move, if necessary the group may psychologically amputate the deviant; that is, freeze him or her out by ignoring the deviant's existence while proceeding with business as usual. Amputation is a severe reaction that groups rarely resort to since the subtler measures generally suffice.³⁰ Just the threat of a sanction like this is a powerful incentive for conformity.

It's important to remember that deviants can be useful to a group. For one thing, they help establish the boundaries of acceptable behavior for other members, saving them the embarrassment of unknowingly stepping out of line.³¹ Aside from this, by far the most important reason for actually encouraging deviance is that deviants are often the source of new or better ideas for accomplishing the group's task. They may also alert the group to improper action or procedure.³²

As mentioned earlier, groupthink can be a danger to conformity: it can give the illusion of having reached the best solution since everyone seems to agree. As a result, there tends to be an unwarranted comfort level with the solution.

Other factors relating to group participation may either be assets or liabilities, depending on how they affect the group. Collective problem solving usually takes more time than the efforts of individuals, but time is almost always a scarce resource. Sometimes, however, it's more effective to slow down the problem-solving process to make sure that all relevant facts have been considered, and collective problem solving is one way to accomplish this. In addition, there's a lot of evidence showing that because responsibility for outcomes is diffused, groups tend to devise riskier solutions to problems than do individuals acting alone.³³ Risky solutions can have high costs, which leaders may not want to chance. By contrast, occasionally it's healthy for the group to break the mold and take risks in order to maximize the outcomes.

Facilitating collective problem solving requires certain skills on the leader's part. One necessary skill is the encouragement of dissenting opinion (deviance). In effect, leaders need to function as discussion leaders—establishing a climate to enhance communication and listening. Seeking clarification, stimulating exploratory behavior to consider all feasible alternatives, respecting and protecting minority points of view, integrating and summarizing responses, and determining when the group is ready to resolve its differences and agree on a solution are all appropriate leader actions that encourage collective problem solving.

³⁰ The four steps which the group uses to deal with the deviant are summarized from H.J. Leavitt, *Managerial Psychology*, 2d ed. (Chicago: University of Chicago, 1964), pp. 268-282.

³¹ Dentler, R.A. and K.J. Erikson, "The Functions of Deviance in Groups," *Social Problems*, 7, (1959), p. 102.

³² Porter, L.W., E.E. Lawler, and J.R. Hackman, *Behavior in Organizations* (New York: McGraw-Hill, 1975), p. 398.

³³ *Ibid.*

Structurally, the group is not only enforcing norms during the Growth and Productivity Stage, it's also changing status within it. Leadership may shift from the appointed leader because of the unique expertise of a particular group member. That is, other, informal leaders may emerge to complement the job of the appointed leader. These people are called *task leaders*. They remain in this capacity as long as their expertise is useful. Other members may urge group solidarity, make jokes to ease tension, boost morale, or express concern for the welfare of group members. Such informal leaders attend to the social and emotional needs of the group during times of stress and are thus called *socio-emotional leaders*.³⁴ The task leaders and socio-emotional leaders are rarely the same person.

Appointed leaders can capitalize on the assets of informal leaders by incorporating them into the leadership group. Recognizing the unique expertise of a particular member does not necessarily dilute the power or status of the appointed leader. In fact, it can even enhance it. On the other hand, alienating the informal leaders can lead to disintegration of the group—especially if the leader doesn't have the skills they have. Further, the appointed leader may be perceived as the cause of the failure to meet goals. When this happens, group members may wonder if it's worth their effort to continue following their appointed leader. At best, they may follow along grudgingly. If these issues aren't unresolved, the leadership structure can collapse.

One final action available to the leader during the Growth and Productivity Stage includes motivation through reward and punishment. Personalized feedback may be given to group members based on their relative contributions to group output.³⁵ However, the group reward, whatever it may be, should still be attractive enough to encourage group members to correct any deficiencies through normal group processes in order to achieve the desired rewards. In short, the leader may use the group to provide important social rewards and punishments. As we've seen, pressure to conform can be a powerful leadership tool.

Evaluation and Control Stage

With task accomplishment in progress, the group enters the Evaluation and Control Stage of development. In this stage, members collectively and purposely examine themselves in order to determine how well they're accomplishing their goals. From a systems standpoint, this is the self-correcting, or cybernetic, phase of development. Group members analyze group processes and inputs to see just how desired outcomes are affected. Where weaknesses exist, group members plan ways to correct them, in some cases returning to the Internal Problem-Solving Stage in the process.

The Evaluation and Control Stage is characterized by the demise of rigid group structure. Unfavorable norms might be abandoned so that new, more appropriate ones can be used; communication processes may be realigned; or informal leadership may be transferred.

³⁴ Bales, R.F. and P.E. Slater, "Role Differentiation in Small Decision-Making Groups," in *Family Socialization and Interaction Process*, eds. J. Parsons and R.F. Bales (Glencoe, NY: The Free Press, 1955), pp. 259-306.

³⁵ Brunets, D.D. and P.C. Wolff, "Shaping of Three-man Teams on a Multiple DRL-DRH Schedule Using Collective Reinforcement," *Journal of the Experimental Analysis of Behavior*, 7, (1964), pp. 191-197 and R.B. Zajonc, "The Effects of Feedback and Probability of Group Success on Individual and Group Performance," *Human Relations*, 15, (1962), pp. 149-161.

In short, the Evaluation and Control Stage offers the group the opportunity to increase group performance and enhance member satisfaction.³⁶

Alas, few groups ever reach this stage. Because of dependency and intimacy issues, individuals are not usually confident enough of their position in the group to risk critical analysis. Concern for the leader's or organization's negative reactions, attempts to avoid sanctions, and the risk of destroying friendships and group solidarity are all powerful deterrents to this phase. The irony is that factors reducing efficiency invariably exist in working groups. As a result, in longstanding groups problems will grow. These unresolved problems may threaten to destroy cohesiveness, and individuals may choose to leave the group. When issues are dealt with and successfully handled, however, cohesiveness is often restored, and the group increases its energy for task accomplishment.

If groups effectively undergo the evaluation and control stage, members realize that conformity is not always needed. They'll encourage rather than punish deviant behavior. In addition, they become more accepting of different attitudes and beliefs; they recognize that this may enhance performance and satisfaction.³⁷

The processes involved in evaluation and control are complex. In fact, a whole technology exists in the field of organizational development to deal with evaluation, control, and the changes resulting from these analyses. We'll turn to this topic in great detail in Area IV.

Figure 21 summarizes the events defining each stage of group development. A review of this chart shows the issues, structural occurrences, and leader actions appropriate to each of the developmental stages. In addition, progression through stages is shown graphically. Note that although normal progression is from Orientation to Internal Problem Solving, then Growth and Productivity to Evaluation and Control, at any point the group may revert to an earlier stage in order to confront unresolved issues. Group development, therefore, may be viewed as a cybernetic process.

Figure 21. Stages of Group Development

³⁶ The four stages of group development and the issues involved with each stage are summarized from a number of sources. They include: Bennis and Shepard, *op. cit.*; Schutz, W.C. *A Three-Dimensional Theory of Interpersonal Behavior* (New York: Holt, Rinehart and Winston, 1958); Philip W. Shambaugh, "The Development of the Small Group," *Human Relations*, 31, (1978), pp. 283-295; Ralph M. Stogdill, "Basic Concepts for a Theory of Organizations," 13 (June, 1967), pp. (B-666)-(B-676); and Tuckman, Bruce W., "Developmental Sequence in Small Groups," *Psychological Bulletin*, 63 (1965), pp. 384-399.

³⁷ Summarized from Shambaugh, *op. cit.*, p. 294 and J.R. Hackman, *op. cit.*, pp. 1455-1525.

Stage	Progression	Issues of Task Activity	Issues of Interpersonal Relations	What Happens to Structure?	What Leader Actions Are Appropriate?
Orientation		<ul style="list-style-type: none"> • Developing goal orientation • Learning roles and task requirements • Determining energy expenditure 	<ul style="list-style-type: none"> • Determining level of intimacy 	<ul style="list-style-type: none"> • Communication networks become aligned • Cohesiveness develops • Informal group leadership emerges 	<ul style="list-style-type: none"> • Clarify, facilitate, evaluate and coordinate goal, role and intimacy issues among members
Internal Problem Solving		<ul style="list-style-type: none"> • Achieving consensus of goal orientation • Finalizing preparation for achieving agree-upon goals 	<ul style="list-style-type: none"> • Resolving dependency issues • Negotiating roles • Forming coalitions • Resolving conflict 	<ul style="list-style-type: none"> • Norms, cohesion and communication continue development • Roles are assigned and accepted 	<ul style="list-style-type: none"> • Facilitate consensus building • Manage dependency, role negotiation, coalition and conflict issues
Growth and Productivity		<ul style="list-style-type: none"> • Accomplishing the task(s) • Collective problem solving 	<ul style="list-style-type: none"> • Encouraging conformity • Controlling deviance 	<ul style="list-style-type: none"> • Norms are enforced • Status is granted based on contribution 	<ul style="list-style-type: none"> • Orient group activity toward relevant tasks by respecting goals, attending to needs and developing beliefs • Avoid dominance • Encourage deviance when appropriate • Use informal task and social-emotional leaders • Condition group where appropriate
Evaluation and Control		<ul style="list-style-type: none"> • Collectively examining the group to determine how it is accomplishing the task • Correcting weaknesses 	<ul style="list-style-type: none"> • Experimenting with new freedom from group sanctions 	<ul style="list-style-type: none"> • Rigid structure diminishes 	<ul style="list-style-type: none"> • Point out problems • Facilitate group process • Fade into background

Case Study

As the commanding officer of a patrol division, you have noticed that your day watch is a long way from being a top-notch team. A large influx of new people has joined the watch, and there seems to be some conflict between the newer personnel and the more tenured employees. Many of the new officers want to implement long-term problem-solving strategies; the old timers are happy just to stop the clock and get out of Dodge.

There is also a vacancy in the position of assistant watch commander. In fact, a senior sergeant named Bill Jones had been the acting lieutenant for the last six months. Now, a young lieutenant named Dave Aviles has come in as watch commander. At first, Sergeant Jones appeared to be uncomfortable taking orders from someone so junior as Lieutenant Aviles; Jones obviously wasn't too happy about a young lieutenant taking any of the control away from him. However, it seemed as though the relationship between Aviles and Jones had been improving lately. You noticed that Lt. Aviles usually assigned Sgt. Jones to be the inside sergeant. Jones was assisting with most of the area's administrative duties, including roll call training and deployment of personnel.

Come to think of it, you noticed that the same personnel were constantly being assigned to work the desk or administrative details. The officers new to the division always seemed to get these less desirable assignments, even if they had several years of experience in other divisions. Just last week, two of these new officers had become very lax in their procedures when working the desk. This resulted in a failure to properly document citizen complaints. On the other hand, two officers who had been in the division for several years and were good friends of Sergeant Jones had just finished a tour in Vice. Now, Lt. Aviles and Sgt. Jones were recommending them for a loan to Detectives.

You knew you were going to discipline the officers involved in the desk incident, but you decided to personally talk with their supervisors as well. Your discussion with Sergeant Randy Allen, their patrol sergeant, was very enlightening. Although Sgt. Allen was concerned about the failure to document complaints, he did not believe that he was responsible for the actions of the officers on his watch. Sgt. Allen was resentful of Sgt. Jones and felt Jones was entirely at fault. "Commander, just because Lt. Aviles lets Sgt. Jones run the show, I get stuck responding to all the requests for supervisors in the field, plus several projects for the area and a lot of personnel complaints each month. While I am running around, trying to respond to field situations and get all these projects done, Sgt. Jones sits around the watch commander's office drinking coffee. I have even checked with Sergeant Sherry Wright, who is also on day watch, and she feels the same way. I know that I have to check on my officers, but Sgt. Jones is the station supervisor. That makes him totally responsible for any screw-ups that happen at the desk! I cannot wait until my time on day watch is up and I can go to night watch."

You checked out these facts with Sgt. Jones and he was livid. His side of the story sounded like this: "Commander, I can't believe you're going to accept that sorry excuse for what happened. You know the lieutenant needs a good, experienced sergeant to be inside and handle all the administrative duties. Running this sector is complicated, and Lt. Aviles has confidence in me. The officers on my watch are the best field officers in this division and that is a reflection on me. It would be stupid to assign them to work the desk or admin.

These newer officers need to pay their dues before they complain. They could not even handle the desk correctly. Obviously, Sgt. Allen should have trained and supervised them better. Lt. Aviles and I would have things under control if these other sergeants would just do their job!”

You reviewed the other two watches and noticed that their performance was higher than that of Day Watch in almost all areas. You noticed that the desk and administrative assignments were divided up between newer and more tenured officers and often went to people who wanted to work those jobs. Officer-initiated arrests and tickets were up, several Community-Police Problem Solving efforts were underway, the quality of their preliminary investigations was better, and there was far more esprit de corps between the personnel. You wondered what you could do to improve the performance of the Day Watch.

I. *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. *Analyze* the situation using Group Development Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Which task issues are evident in this group's activities?

Which relationship issues are evident in this group's activities?

What stage of group development is this group in?

III. **Explain** how the group's stage of development influences the group's individual, group, and organizational outputs.

How does this group's stage of development influence individual motivation, satisfaction, and performance?

Likewise, how is the stage of group development influencing the group's structural dimensions and performance?

Finally, how is this group's stage of development affecting the organization's performance?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. **Select** an appropriate theoretical leader strategy(ies) that would be effective in this situation.

Which theoretical leader strategy(ies) should the leader use to address the Area(s) of Interest in this situation?

- V. *Apply* the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest. The plan should be realistic and holistic, address all the Areas of Interest you have identified, and translate the theoretical leader strategies into action. What will you do and say to whom, when, where, and how?

- VI. *Assess* the effectiveness of your leader plan and revise as needed. After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, “What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?”

Name: _____

Complete a Student Journal entry for Group Development Theory.

Think about your current work group. What task and relationship issues do you see? What stage of development is your work group in? What is the impact of this stage on individual, group, and organizational outcomes of the group? What theoretical leader actions are appropriate for your group? Describe what leader action(s) you currently see in your work group. Are they synchronized with Group Development Theory? What leader actions could be taken to enhance individual, group, and/or organizational outcomes?

LESSON 13: SOCIALIZATION

Introduction

This lesson consists of:

1. Socialization
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 37-60.
- 2) **Find and Read** your Department's Mission Statement, Goals, Values, and Objectives. Bring a copy to class.
3. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** how individuals are socialized into a group by describing the socialization process.
 - A. **Identify** the key socialization agents present in the situation, the processes they are trying to use, and the goals they hope to achieve.
 - B. **Identify** the socialization goals that the leader is trying to achieve.
 - C. **Describe** how the leader's socialization goals are not being met.
 - III. **Explain** an Area of Interest in terms of how the current socialization program affects the group's outcomes.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address the Area(s) of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.

4. Complete a Student Journal entry for Socialization Theory.

Think of a time when you were a new member of a group or organization in your department. This can be when you were new to the department or when you switched jobs/responsibilities within the department. Use Socialization Theory to describe how you were made aware of the new group's goals and norms of behavior.

Who were your most influential socialization agents? What socialization processes were used? Were you effectively socialized into the new group? What goals did these processes achieve? Which goals were not met? How did this process impact your personal motivation, performance, and satisfaction? How did it impact the group and organization's GOSM outcomes? What role did your leader play in this socialization process? What might he/she have done differently to achieve a more productive outcome?

SOCIALIZATION

What Is Socialization?

Let's take a look at socialization in the context of other learning processes. As we discussed earlier, biological and social development occur as part of the normal human development process. We learn to live within our society. Early in life, we learn simple rules of conduct. Schoolchildren learn to sit at desks, take their turns, and ask if they want something. They also learn, sometimes painfully, the art of fair play. This early social development lays the groundwork for moving from role to role within society. Later on, when young people approach adulthood and enter the working world, they'll develop social skills that allow them to function in various organizational roles. And from there, they can move from organization to organization with minimum adjustment. In effect, they become part of a secondary culture—the world of organizations.

They must also, however, learn the subculture or the norms, values, and attitudes unique to the group they want to join. *Socialization*, then, is the process by which an individual “acquires the social knowledge and skills necessary to assume an organizational role.”³⁸

To really understand socialization, remember that people bring certain skills, behaviors, attitudes, and values to an organization. These attributes are the inputs to the socialization process. The outputs of the socialization process, or the socialization goals, include things like individual commitment, internalization of new organizational values, and innovative input to the group. Ultimately, the end product of socialization may be viewed as

³⁸ Van Maanen, J. and E.H. Schein, “Toward a Theory of Organizational Socialization,” in *Research in Organizational Behavior*, Vol. 1, ed. Barry M. Staw (Greenwich, Conn: JAI Press, 1979), p. 211.

a psychological contract between the new member and the group. For this contract to be fulfilled, some individual adjustment is usually required. This adjustment, or transformation, is the throughput of the socialization process.

The Goals of Socialization

As touched on above, the psychological contract between the new member and the group normally has three major goals: commitment, internalization, and innovation. As the term contract implies, the end product should mutually benefit both parties. Let's focus here on the benefits to be gained by the organization and its leader.

Commitment

Usually, group achievement is the result of its members' strong efforts toward an activity. For example, passing an inspection requires hours of preparation. Excelling at an inspection, however, requires many additional hours. When people freely engage in the kind of diligent effort that's necessary for excelling, it's generally because they're committed to the group they belong to.

Commitment is the first goal of socialization. It is the desire to remain with and work hard for a group as a result of strong ties and allegiances to other members or because of the time and effort invested.³⁹ For committed individuals, productive efforts are generally an inherent source of satisfaction, not merely a means of gaining tangible rewards. It's easy to see, then, that commitment is a desirable goal not only for the leader but also for the individual.

Internalization

A leader wants his or her officers to safely and effectively accomplish both the group and department's mission. One way to gain this compliance is by using actual or implied punishment or even extrinsic rewards. This method is generally effective but costly and even dangerous for a leader. Compliance requires the leader's actual or imminent presence in order to monitor followers' work and ensure their satisfactory performance. A leader fully engaged in this way isn't free to perform other essential leadership duties.

An alternative to compliance is encouraging officers to perform well because good performance is consistent with their own attitudes. This means getting officers to internalize the attitudes and values of the group and department. Thus, they actually believe in the attitude or value and no longer require the leader's presence to ensure compliance. This is internalization and it is the second goal of socialization.

The psychological transformation from compliance to internalization usually involves an interim stage where one identifies with the leader. That is, an officer performs well because he or she gets satisfaction out of maintaining a good relationship with the leader. This process of identification requires less monitoring than the compliant state. But it still

³⁹ Porter, L., W.J. Crampon, and F.J. Smith, "Organizational Commitment and Managerial Turnover: A Longitudinal Study," *Organizational Behavior and Human Performance*, 15 (1976), p. 91.

means that the leader must be actually or imminently present. With identification, the threat of disappointing the leader is enough to maintain performance.⁴⁰

By now, it should be clear that the leader has a lot to gain from officers' internalizing their values. A successful socialization effort will achieve internalization of all attitudes and values that are essential to the success and survival of the group.

Innovation

From the leader's point of view, one of the best things about adding new people to the group is that they bring new and innovative ideas or values, thus rejuvenating the group and helping it succeed. This innovation is the third goal of socialization. Socialization has an important impact on the amount of innovation within a group. For example, if the socialization process demands too much conformity, innovation may be stifled.

Too much innovation, of course, can be just as dysfunctional to the group as too little innovation. If group members are permitted to reject the socialization process altogether and rebel against the group's essential tasks, chaos can result. Worst of all, the group could even be destroyed. So groups need innovation. But they also need conformity in order to accomplish their tasks in a clear and specific way. Balancing these two elements in a group context is a continual challenge for the leader.

Noted organizational psychologist Edgar H. Schein has created some guidelines for assessing this balance between conformity and innovation.⁴¹ He notes that the appropriate type of behavior depends on the importance of the particular norm, role demand, or value to the group. When these three elements are essential for the organization's success or survival, conformity is needed. These essential attributes are referred to as *pivotal*. For example, if a group can't accomplish its primary task without trust among its members, then trust is a pivotal attribute of the group and one that demands conformity.

In contrast, attributes that aren't essential to the group's success or survival (though it may be beneficial) allow either conformity or innovation. These attributes are called relevant. An example of a relevant attribute is the norm of a well-organized workspace that makes it easier to locate work items or supplies. Yet the lack of such organization may not be fatal to the primary task of the group.

The final type of attribute isn't essential for the group's success or survival and may even detract from it. A norm that forbids people from questioning the boss's authority is such an attribute. Schein calls these attributes *peripheral*. He notes that actual rebellion may be the right response to such peripheral demands.⁴²

When response and attribute aren't in sync, that is, the group demands compliance to peripheral attributes or allows rebellion against pivotal attributes, followers may experience both frustration and decreased commitment.

⁴⁰ The concepts of compliance, identification, and internalization and their corresponding benefits and costs are summarized from H.C. Kelman, "Processes of Opinion Change." *Public Opinion Quarterly*, 25 (1961), pp. 57-78.

⁴¹ Reprinted from "Organizational Socialization and the Profession of Management," by E.H. Schein, *Sloan Management Review*, Vol. 9 (Winter, 1968), pp. 10-11, by permission of the publisher. © 1968 by the Sloan Management Review Association. All rights reserved.

⁴² *Ibid.*

The Psychological Contract

As noted, the ultimate goal of the socialization process is a mutually satisfying psychological contract between individual and group. This umbrella goal of socialization encompasses individual commitment, internalization, and innovation. Members might expect recognition for past achievements, an opportunity for advancement, or freedom to work with little supervision. The leader might expect adherence to policy, recognition of his or her authority, and support of the group's goals. Since each party has certain expectations, there's usually an opportunity early on for these expectations to be stated and then either confirmed, denied, or changed. The psychological contract must be open for continuing review. It may be seen as a series of mutual expectations, explicit and implicit, that govern the relationship between parties.⁴³

Just how the psychological contract plays out is crucial to the relationship between leader and group members. From the leader's perspective, the psychological contract can drastically affect how much effort members give to the group. From the individual's point of view, the contract can determine how much satisfaction and self-esteem he or she gets from that effort, and it may even determine if he or she stays with the group. In the end, successful psychological contracts are ones that benefit both leader and group members.

Socialization in Police Groups

Socialization is a complex and critical task for organizational leaders. To understand both its importance and its difficulty, it is useful to understand how it relates to the open systems model of groups. Socialization is the process of teaching members of a group or organization what they need to know in order to maintain social life. It is the process of learning through which the individual is prepared (with varying degrees of success) to meet the requirements laid down by other members of the group or organization. Socialization processes affect values, personality needs and drives, social roles and identities, self-conception, and the general manner in which business is conducted. Socialization is, then, the acquisition by individuals of a considerable range of qualities that will guide their behavior in differing group and organizational contexts.

Another important issue for the leader to consider is who should be the socialization agents in the organization. Realizing that socialization agents are essentially teachers, or trainers, everyone that an officer comes into contact with could potentially be a socialization agent! The key for the leader is to manage the environment and socialization process to maximize the interaction between newcomers and the socialization agents of your choosing. Here is a list of four possible socialization agents:

1. *Senior organizational leaders.* Any senior officer within your department, (e.g., lieutenants, captains, deputy chiefs, etc.) could be construed as a senior organizational leader and socialization agent. The greatest contribution of senior organizational leaders in the socialization process is to understand and model or demonstrate the

⁴³ Levinson, H., C.R. Price, H.J. Mumden, and C.M. Solley, *Men, Management, and Health* (Cambridge, MA: Harvard University Press, 1962), p. 21.

broad organizational goals and expectations. Senior organizational leaders help new members comprehend the big picture of the organization.

2. *The organizational leader.* You, the focal leader, are perhaps the key socialization agent for officers within your work group. As the first officer in the chain of command, you are one of the primary role models for your followers. In many ways, everything you do, or fail to do, demonstrates to followers what they need to know in order to get along within the organization. You have direct responsibility for the establishment of a socialization program that is designed to contribute to the accomplishment of organizational goals. Additionally, your program should shape incoming officers so they become significant contributors, accepted members of their work group, and ultimately feel welcomed, valued, and vital to the organization.

3. *Followers/Employees.* Employees likewise play an important role in the socialization process because they model everyday work or role behavior (remember observational learning). Employees are any officers of lesser rank within your organization, be they intermediate leaders responsible for conducting official socialization training or peers who influence through everyday contact. Ideally, these followers will help newcomers achieve the socialization goals. But the organizational leader must recognize that employees may not contribute in this manner. For example, disgruntled officers who interact with a newly assigned officer may be part of an unofficial socialization program that detracts from the newcomer's ability to learn about organizational norms, goals, and values.

4. *Others.* Finally, individuals external to the organization may act as socialization agents for your officers. Family members, friends, neighbors, members of the clergy, and officers from other work groups are examples of the myriad of persons who could potentially be teaching and informing your officers about your organization. Given that they are external to your organization, the effects of others on your socialization program are usually informal, indirect, and hard to control. Though often well intentioned, other persons may send contradictory messages and transmit inaccurate information about your group to the newly assigned officer. It is our job as leaders to monitor the effects that these significant others may be having on your attempt to properly socialize officers.

So how do leaders make this happen? It's important to acknowledge that socialization is accomplished through a number of processes, and we will discuss these processes in detail in the next section. First, however, the leader must consider the common mistakes that can doom a socialization program.

One pitfall is that leaders frequently concentrate on orienting officers into units without paying attention to socializing them. While orientation and socialization have somewhat of a reciprocal relationship, they are different processes. Orientation deals with explicit and stated rules, standard operating procedures, and ways of doing business in a work group; orientation is no more than imparting knowledge. Socialization, on the other hand, takes care of more implicit concerns about how individuals fit into an organization and what their role will be. It goes deeper and imparts the attitude of the organization.

A second pitfall is that leaders may not control, or even be aware of, the socialization efforts of others. If the leader is not in control of the socialization process, then some other individual or group is. Improperly socialized individuals, or those who have been socialized by someone other than the leader, might later become Areas of Interest when they behave incorrectly in their role. They also might not possess the proper degree of conformity, commitment and internalization necessary to make a contribution to the survival of the organization.

The socialization process never ends. As organizations change, members are socialized into their new roles and learn their new responsibilities. Further, as members come and go in the organization, other members advance into the vacant roles, attain new status, and gain new responsibilities. Therefore, it may be necessary to re-socialize more experienced officers and in many respects, this may prove more challenging than socializing inexperienced officers. Leaders must also take an active role in this process to ensure their followers formulate an understanding of functional norms. Personal contact may help in this area since the leader can observe the follower and issue appropriate guidance. This also goes hand-in-hand with clarifying role expectations through the process of job performance appraisal.

Transformational Processes

It's time to take a close look at the transformation (or throughput) process because herein lies important strategies to help the leader conduct the socialization process for new members. Basically, there are five socialization considerations:

1. Whether to socialize collectively or individually.
2. Whether to socialize formally or informally.
3. Whether to consider movement through socialization on a fixed or variable schedule.
4. Whether or not to use role models.
5. Whether to use abasement or self-image-enhancing techniques.

In each case, there are advantages and disadvantages depending on what outcome is desired. The table in Figure 23 summarizes this material and may help you organize your thoughts as you read.

Figure 23. Relationship between Transformation Processes and the Goals of Socialization

Transformation Process	Increases	Decreases
Individual	Commitment (if mentor is respected) Innovation (if mentor is not respected)	
Collective	Commitment	Innovation
Formal	Commitment Internalization	
Informal	Innovation	
Fixed Time	Innovation (if moderate security)	Innovation (if too much security)
Variable Time	Commitment (for those who advance)	Innovation
Role Model	Internalization (if good role model)	Internalization (if an appropriate role model) Innovation
No Role Model	Innovation	
Abasement	Commitment (if voluntary)	Innovation
Self-image Enhancement	Innovation	

Collective versus Individual Treatment

People can be socialized collectively as a group. They then have a common set of experiences. Many large organizations use this approach for large numbers of new recruits who need well-defined and similar skills. A good example of collective socialization is basic training in the military. On the other hand, new group members can be processed individually in on-the-job training programs or apprenticeships. Here they're in relative isolation, and each person will have a unique set of experiences. This approach is often used when someone moves up in an organization or moves from one functional department to another.

Different outcomes will result depending on which end of the spectrum socialization occurs. For example, in the collective method, group members can share common problems. If someone discovers a solution to a problem, he or she can share it with the others. In collective discussions, members can develop a consensus on how to deal with certain problems, which leads to cohesion. A group socialized collectively is generally more homogeneous in their views than those socialized individually. Collective socialization also results in strong group norms that reward conformity and punish deviancy.

In contrast, individualized socialization attempts are most useful for unique and complex role training. The outcome is a function of the relationship between the leader and the individual—what’s often called the mentor relationship. When the individual respects the leader and the leader gives that person considerable attention, a mutually satisfactory psychological contract and individual commitment are likely. If the individual doesn’t respect the leader, rebellion or innovation—as well as minimal commitment—are likely outcomes.

Formal versus Informal Processing

In some socialization situations, recruits are separated from other group members in order to undergo a specially tailored set of experiences. This formal process sometimes requires that the newcomers wear special uniforms or be addressed by special titles. The focus of formal socialization efforts is on the creation of specific values, attitudes, and behaviors. Performance evaluations show whether leaders feel the right amount of progress is being made toward this focus.

In contrast, the informal process is generally found in on-the-job training or apprenticeship programs. Here, the emphasis is on learning skills that directly relate to the job. Informal training is more likely to lead to costly on-the-job mistakes.

Again, the outcomes of formal and informal processes are different. Formal socialization is appropriate when someone is scheduled for an important new position and rank or when a gap exists between a job’s required attitudes, values, and behaviors and those actually possessed by the recruits. Religious orders, for example, tend to expect explicit, internalized values and commitment that are unlikely to be present without a formal socialization process. Informal socialization, on the other hand, tends to increase the innovation of new members.

It is interesting to note that the formal socialization process is often followed by an informal one, and the informal process usually endures. For example, after a lot of formal schooling, students on their first job often hear, “Forget the theoretical stuff you learned in school—see how we [the new group] do it.” In this case, students and leaders alike sometimes overlook a crucial fact: It’s the formal aspect of socialization (studying academic or theoretical concepts) that allows new members to understand and comply with the informal process.

Fixed versus Variable Movement

Fixed time sequences, sometimes called seniority, give group members an assurance of when they can expect to move up to a new position. On the other hand, variable time movement depends on things like leader assessment of performance and gives a person few cues about when to expect advancement or movement.

When people progress at a known, designated rate, the psychological contract is sometimes strengthened. People feel secure in their future with the group and as a result, may become more innovative. Too much security, however, can reduce innovation, particularly if people know that promotion will come regardless of effort.

Variable time progression, by contrast, often creates anxiety about the future. The result is that people spend more time on the attitudes, values, and behaviors that allow movement rather than on the job itself. In other words, variable time encourages conformity as people try to imitate the behaviors of the last person promoted.

However, variable time does seem to enhance the commitment and self-esteem of those who advance since they're advancing because of their value to the group. But those who don't advance may become ineffective group members because variable time may cause competition, which may reduce group cohesiveness, trust, and risk-taking efforts.

Absence versus Presence of Role Models

People are often trained by those who already have the role or status new members hope to achieve. Role models can groom newcomers who are about to assume similar positions in the group. Respected role models thus provide an image for the new recruit to emulate while providing a sense of what their future in the group will be like.

Using role models tends to maintain old patterns of behavior; so the reputation of a group may remain remarkably stable throughout its history and innovation may thereby be lost. When role models are perceived as being competent and successful, their behavior tends to be copied by new members hoping for organizational rewards.⁴⁴ Yet if role-model images are undesirable, that person may not be copied. Indeed, the role model may even interfere with new members' internalization of an organization's values and norms.

The absence of role models may increase the chances for innovation since there's no one to copy. Confusion and loss of central purpose, however, may also result because evidence shows that people learn by observing esteemed role models.⁴⁵

Abasement versus Self-Image Enhancement

Abasement experiences deny and strip away the self-image of new members in hopes of replacing their old values with new ones. These experiences are characterized by harassment from long-time members, long periods of time spent doing dirty work, heavy work demands with little time to meet them, and isolation from former relationships. The more an experience seems like an ordeal for the new member, the more abasement is at work. Abasement experiences are used to unfreeze people first joining a group. They're also used to unfreeze people moving to positions of increased responsibility where the group believes the incumbent leader possesses pivotal attributes lacked by the new group member.

People need a lot of motivation to persevere through abasement. Motivation can come from the awe inspired by a prestigious institution and the desire to be part of it. When freely undertaken and properly managed, the abasement process usually serves to bind the new person to the group. That person often discovers abilities he or she never knew existed resulting in a new self-image of mental and physical toughness. Since the changes in personal identity tend to be supported by both the individual and the group, the process tends to be self-perpetuating.

An alternative to abasement experiences is self-image enhancing experiences. The message to followers is, "Don't change! We selected you because we like you just the way you are." In this case, the group builds on and enhances existing skills, values, and attitudes. This technique is seen in groups that have orientation programs, relocation assistance, social welcoming functions, and visits to the leader's office to receive a perfunctory handshake and best wishes. The activities serve to validate the newcomers' views of themselves. Self-

⁴⁴ Weiss, H.M.. "Subordinate Imitation of Supervisor Behavior: The Role of Modeling in Organizational Socialization," *Organizational Behavior and Human Performance*, 19, (1977), pp. 89-105.

⁴⁵ Bandura, A., *Social Learning Theory* (Englewood Cliffs, N.J.: Prentice-Hall, 1977).

image enhancement is usually associated with innovation, while abasement experiences actually interfere with it.

Abasement can be administered by group members who happen to be outside formal leadership channels. As noted earlier, low-ranking group members often exert strong pressure to develop common attitudes, values, and behaviors. The goal is to gain protection from the group. When the informal groups develop this considerable power over new, lower-ranking group members, a decrease in organizational commitment and a lack of internalization of pivotal values may result.

Several negative outcomes of abasement experiences are worth considering. First, an abasement strategy is more likely (initially) to reduce group effectiveness than an image-enhancing strategy is. That's because abasement usually leads to reduced job satisfaction for new members, and those who stick it out and stay tend to have lower performance scores than those who decide to leave. Also, people who have undergone abasement strategies tend to have more difficulty handling authority without being abusive themselves.⁴⁶

A second negative outcome of abasement is that it doesn't help bind the new member to the job at hand or to the group itself. If people aren't highly committed to the group beforehand, they may resign. And those who resign are often the ones who have the potential to make significant contributions to the organization.⁴⁷

A third negative outcome of abasement is the possibility of abuse by leaders. Such abuse may have a debilitating physical or psychological effect on new members. By separating followers from their support systems and then abusing them, stress may become dysfunctional. Reactions ranging from loss of sleep to suicide attempts have resulted from such incidents. In extreme cases, leaders may unknowingly begin to see the trainee as a thing to be manipulated rather than as a person to be developed. Sometimes internal competition even develops among trainers each trying to see who can be the toughest.⁴⁸

Other Considerations in the Transformation Process

Essentially, the leader's task in socialization is threefold:

1. Evaluate the individual's attributes (inputs).
2. Determine the desired goals of socialization (outputs).
3. Select the way to accomplish those desired goals (throughput strategies).

In this section, we'll look at several other considerations available to the leader for influencing the socialization process for the group's benefit.

Creating Supportive Group Expectations. The early expectations of leaders greatly affect new members' retention and success within the group. Communicating such phrases as, "I know you'll do well," convey these expectations. Also, the degree of difficulty in the initial

⁴⁶ Earle, H.H., *An Investigation of Authoritarian Versus Nonauthoritarian Training in the Selection and Training of Law Enforcement Officers* (Ann Arbor, MI: University Microfilms, 1972), p. 205.

⁴⁷ McConnell, J.V., *Understanding Human Behavior*, 2d ed. (New York: Holt, Rinehart and Winston, 1977), pp. 288-291.

⁴⁸ Zimbardo, P.G., *Psychology and Life*, 10th ed. (Glenview, Ill: Scott, Foresman and Company, 1979), pp. 625-626, 653-654. (For an excellent summary of research dealing with anonymity, deindividuation, dehumanization, and obedience, see Zimbardo, pp. 702-717.)

assignments may convey positive expectations.⁴⁹ Challenging assignments tell individuals that the group expects them to do well.

Providing Rewarding Jobs. Recall from earlier lessons on motivation that people with strong growth needs want opportunities to use their own abilities, participate in decisions that affect them, perform interesting work, advance in their careers, get feedback on their performance, and have some autonomy. Another consideration for effective socialization, then, is that new members be given jobs that allow for need satisfaction. Ideally they should have these jobs early in their careers. Evidence shows that people with high growth needs that are not met through work are likely to seek satisfaction outside the group or perhaps even leave the group entirely.⁵⁰

A word of caution here. For people with low growth-need strength, the challenges of a job can be too great. If a job is too difficult and leads to failure, people may withdraw from their work.⁵¹ Also, if the task is perceived as impossible, a reduction in self-esteem along with dysfunctional stress may result.⁵²

Clarifying Role Orientation. When people think of their jobs as stepping-stones to other important jobs within an organization, they perceive an opportunity for growth and advancement. Since these things are normally valued, most people commit to an organization if they see advancement possibilities. So another element of socialization is giving followers a clear picture of how their role fits into a career path. Leaders can identify job path conditions and sequences so that followers are aware of movement within the organization.

Expressing Leader Acceptance. Some jobs, such as secretarial/clerk positions or full-strength organizations that rely on death or retirement to create vacancies, offer little potential for movement. In this situation, the leader needs to establish a developmental relationship with his or her followers in order to enhance their self-esteem. The leader can express that followers are valuable, that they're capable of doing good work, and that they'll be aided in increasing their abilities and competencies within their jobs.

To communicate this acceptance, the leader needs to have a work environment where followers may share their concerns without feeling judged or inferior. Problems are aired to seek solutions—not to decide who erred.⁵³ And what are the benefits of this approach? It builds commitment—followers feel compelled to repay their leader with hard work and quick

⁴⁹ Berlew, D.E. and D.T. Hall, "The Socialization of Managers: Effects of Expectations on Performance," *Administrative Science Quarterly*, 11, (September, 1966), pp. 207-223.

⁵⁰ This conclusion is supported by the following research: D. Dunnette, R.D. Arvey, and P.A. Banas, "Why Do They Leave?" *Personnel*, (May-June, 1973), 25-39; Rabinowitz and Hall, *op. cit.*, 284; and S.D. Saleh, R.J. Lee, and E.P. Prien, "Why Nurses Leave Their jobs—An Analysis of Female Turnover," *Personnel Administration*, 28, (1965).

⁵¹ Porter, Lawler, and Hackman, *op. cit.*, pp. 196-197.

⁵² McGrath, J.E., "Stress and Behavior in Organizations," in *Handbook of Industrial and Organizational Psychology*, ed. M. D. Dunnette (Chicago: Rand McNally, 1976), pp. 1351-1395.

⁵³ Graen, G., J.B. Orris, and T.W. Johnson. "A Developmental Study of the Assimilation of New People into Various Office Worker Roles within a Large Public University," *Journal of Vocational Behavior*, 3, (1973), pp. 395-420; and G. Graen and S. Ginsburgh, "Job Resignation as a Function of Role Orientation and Leader Acceptance: A Longitudinal Investigation of Organizational Assimilation," *Organizational Behavior and Human Performance*, 19, (1977), pp. 1-17.

learning.⁵⁴ For the individual, leader acceptance allows him or her to develop abilities and enhance self-esteem.

Establishing Social Support Systems. Another element of effective socialization is the recognition that socialization can be stressful—no matter how well it’s managed. One way of preventing a negative socialization experience is through the use of effective social support systems; peer groups can provide a forum for exchanging ideas on how to cope with socialization.⁵⁵ This is particularly important for followers in nontraditional roles. Our lesson on group cohesion will emphasize the importance of social support systems in helping new organizational members cope with stress.

Creating Initiation Activities. Many socialization experiences have a final rite of passage—an initiation that’s tough to complete. College sororities and fraternities have been known for elaborate initiation proceedings like Hell Week. Military academies have a formal recognition of the lower class after a full year of socialization activity. The purpose of initiation activities seems to be to ratify the socialization outcomes. In some cases, rites of passage—such as graduation from a training course or trainee-apprentice status—might be used to increase self-esteem/and self-confidence of new members in that group.⁵⁶

Not all research, though, supports the notion that initiation improves socialization. One study found that “those individuals who have some sort of institutionalized feedback or ceremony that certifies their competence do not feel significantly more competent than those who do not receive such feedback.”⁵⁷ Evidence is not clear that initiation activities really constitute an effective end of socialization.

At this point one can hopefully appreciate the critical role that socialization plays in the development and perpetuation of a group. Socialization occurs when group members enter into or change roles within a group. To build a productive group and keep it that way, a leader must develop socialization plans and vigorously implement them. If the leader doesn’t, then someone else will and the leader will have to live with the outcome.

⁵⁴ Schein, 1968, *op. cit.*, p. 8.

⁵⁵ Terborg, J.R., “Women in Management: A Research Review,” *Journal of Applied Psychology*, 62, (1977), p. 652.

⁵⁶ White, R.W., “Motivation Reconsidered: The Concept of Competence,” *Psychological Bulletin*, 66, (1959), pp. 297-333, and M.B. Smith, “Competence and Socialization,” in *Socialization and Society*, ed. J.A. Clausen (Boston: Little, Brown, and Company, 1968).

⁵⁷ Feldman, *op. cit.*, pp. 984-985.

Case Study

You are the night watch lieutenant in Southwest Patrol. Recently you received a new probationary officer, Susan Campbell. She came in a day early to introduce herself and find out as much as she could about the station and the district. You could see that she was very intelligent and eager to start her new career. Her records indicated that she graduated near the top of her class in all aspects of training at the academy, and in fact, she scored the highest academic average. You also learn that she's older than most new officers, having successfully completed a military tour and graduated from college before attending the academy.

During a short conversation with her that day, you noted that the Southwest Patrol has a reputation of being tough on probationary officers. You explained, however, that all you and the training officers expect from new officers is that they work hard, fit in, and learn not only their duties but also the values of the police profession fast. You tried to bolster her confidence by praising her academy performance and saying that smart, dedicated officers like her would not have any problems. You emphasized that as long as she worked hard, was officer safety conscious, and treated citizens with respect and dignity, she could expect to pass probation without difficulty. At the end of your meeting, Campbell promised she would try hard not to disappoint you. As she departed, you briefly pondered that you'd lost the last three probationary officers and hoped she'd do better.

The next day, Campbell arrived in her brand new uniform to begin evening watch. The senior officer, George Benjamin, a twenty-seven year veteran on the job, brought her into the sergeant's office and crudely yelled to you, "Fresh meat, Sergeant." You decided from that moment on you were going to have an uphill battle making this rookie officer feel comfortable. You knew that all rookies had a tough time being accepted, but being the only female on the watch might become an arduous experience for Campbell.

When you spoke with her, it was easy to see the tension in her face. You again congratulated her on her academy record, and then calmly explained that she was going to be assigned to one of the best training officers in the division, Officer Doug Raymond. You advised Campbell to pay attention to everything Officer Raymond taught her, and you were sure she would do well.

Officer Campbell spent the next month working with Officer Raymond. When you asked how Campbell was doing, Doug Raymond complained that Officer Campbell seemed unable to advance beyond the limited scenarios she had been taught at the academy. He said she could not improvise when the situation did not exactly match the facts she had been taught in the classroom. Additionally, Officer Raymond stated that, "Benjamin and the others have been riding her hard. They even set her up with some bad information at a training session that put her in a bind on the street. When I tried to correct the situation, she just blew me off. She just doesn't seem very happy here, Sarge. I don't know what's wrong with her. She just doesn't seem to fit in with the guys." You decide that it's time to speak with Campbell.

As you watch Susan Campbell walk into your office, you notice the defeated look on her face. You have seen that look many times before, like when an officer knows that he or she is going to get chewed out. You tell her you have heard about her lack of progress, and then ask, "What's the problem, Campbell?"

“Sir, I don’t know what it is exactly, but I just don’t seem to fit in here. Cops run in my family. My father was a detective for thirty years and my uncle is also a police officer. I want to make law enforcement my career, but I just don’t feel right here. With all due respect, the last thing I want to do is complain or ask for anything special. I want to be like everyone else here, but the male officers on the evening watch seem to expect me to act like a man. They tease me because I never go out with them after work. Well, they go to sleazy bars and try to pick up women. Sarge, I just don’t enjoy that kind of lifestyle, and if I did go my husband would kill me. Besides, they seem more concerned with their off-duty and social lives, not what happens on the job. I want to be a police officer, not a lounge lizard.

“Apparently, if I don’t hang out with the men they ostracize me. I’m supposed to be learning from them, but I can’t learn very much if they’re not talking to me. I’m doing the best I can to teach myself and to learn by my mistakes, but then they criticize me for making so many errors! I really want to do the ‘right thing,’ I’m just not sure what that is!

“Sir, I’ve been talking with a friend of mine who works for a nearby police department. He and his wife have gone out to dinner a few times with my husband and me. From what he says about his department, all of their rookies, both male and female, feel good about their department. I think I’m going to quit this job and apply over there to be a police officer.”

I. **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** how individuals are being socialized into a group by describing the socialization process.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Which socialization agents appear to be influencing Officer Campbell? What processes are they using to achieve which goals?

Socialization Agent	Processes Used	Goal/Outcome Achieved
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

What socialization goals would the leader and the department like to achieve?

Describe how the department and leader's socialization goals are not being met.

III. **Explain** an Area of Interest in terms of how the current socialization program affects the group's individual, group, and organizational outcomes.

How have the current socialization practices affected Officer Campbell's individual motivation, satisfaction, and/or performance?

Has the group's performance and/or structural dimensions been affected by the current socialization program? How?

Has the performance of the organization been affected? How?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. **Select** an appropriate theoretical leader strategy(ies) to address the Area(s) of Interest.

Which leader strategy(ies) should the leader use to address the Areas of Interest in this situation?

V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest. The plan should be realistic and holistic, address all the Areas of Interest you have identified, and translate the theoretical leader strategies into action. What will you do and say to whom, when, where, and how?

VI. **Assess** the effectiveness of your leader plan and revise as needed. After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, “What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?”

Lined writing area for notes or answers.

LESSON 14: COHESION

Introduction

This lesson consists of:

1. Cohesion Theory
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 61-74.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Cohesion Theory.
 - A. **Identify** the Common Indicators of Cohesion that are missing (or low) in the situation.
 - B. **Identify** the strength of group cohesion (high/low).
 - C. **Describe** whether the group's cohesion supports the organization's goals.
 - III. **Explain** an Area of Interest in terms of how the group's cohesion influences the group's individual, group, and organizational outcomes.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
3. **Complete a Student Journal entry** for Cohesion Theory.

Briefly describe, from your department, a formal unit or group that had/has low cohesion. What Common Indicators of Cohesion were missing (or low)? Despite the low cohesion, did the group's cohesion support the department's goals? How did the low cohesion affect individual motivation, performance, and satisfaction? How did it influence group performance? Lastly, how did it affect organizational performance? What could the leader have done to improve cohesion and thereby improve individual, group, and organizational outcomes?

COHESION THEORY

Common Indicators of Group Cohesion

The degree to which members are attracted to and remain in a group is often called *cohesion*. In other words, cohesion is the strength by which a group is glued together. We should expect that highly cohesive units would show greater levels of mutual respect, trust, confidence, understanding, and performance in achieving their norms. Conversely, groups with low cohesion would exhibit lower levels of these variables. These are intangibles that are difficult to observe and measure. However, since a highly cohesive group is one that is glued tightly together, we should observe members showing greater care about the group and stronger commitment to it. We would expect that these members place more energy, both physical and psychological, into group activities. With more energy from members, these groups would have more collective resources to devote to group activities, efforts, and goals. Out of these observations are derived the common indicators of group cohesion. Let's explore each one of them individually.

Greater Interaction and Communication

We would expect that members of a close-knit group would communicate more with each other. Because they value the group, they are more willing to take part in the group's efforts and activities and this normally causes more interaction (although this is task dependent). It has been shown that the greater the cohesion, the greater the communication activity between members in the group. Cohesive groups also meet more and this naturally adds to the communication and interaction of members.

In highly cohesive groups, all members participate more and participation is spread more equally among members. The quality of communication is characterized by greater cooperation and friendliness and is oriented towards keeping the group tight. In low-cohesive groups, members are less cooperative, tend to keep comments that relate to group performance to themselves, and are more aggressive in the way they respond to group interaction. Brigadier General S. L. A. Marshall's renowned work *Men against Fire* gives numerous accounts of soldiers in highly cohesive units that keep horizontal and vertical communication channels open; it tells how such channels had a pronounced effect on their psychological well-being, which in turn, brought them much closer to their unit. Such communication patterns also allowed soldiers to quickly and effectively teach each other new skills and abilities as well as provide accepted feedback on performance. Hence, there is also a reciprocal relationship between a group's communication and interaction processes. The more cohesive a group is, the greater the quantity and quality of its communications. This, then, builds even greater cohesion. While the above is a military example, the same variables--a highly cohesive group, stressful daily operations, open communications channels, and the above mentioned reciprocal relationship--could easily apply to a police work group or unit.

Power of the Group over its Members

When members are committed to their group, they are more willing to make personal changes, and even sacrifices, to remain an active part of the group. This allows the group to

have power over the opinions and behavior of its members. Highly cohesive groups exert strong pressure on group members to conform to the group's opinions, attitudes, and behaviors.

Another interesting facet of the group's power over its members is that highly cohesive groups increase their members' ability to resist external pressures, as well as non-conforming internal pressures placed on them. Police work groups are no exception. When an organization is very cohesive, it can tolerate more resistance, stress, and even internal rebellion without risking disintegration. Less cohesive groups disintegrate more quickly under both internal and external scrutiny. These effects stem from the understanding that in highly cohesive groups, members value their group membership so much that they will change and tolerate others or things that they normally wouldn't in order to remain in the group.

Goal Attainment

It is somewhat intuitive that highly cohesive groups will be more successful at directing group efforts and energy towards attainment of group goals. Our experience watching or participating in sporting events tells us that a team's cohesiveness can make the difference between winning and losing. That is why one of the fundamentals of training is building teamwork.

If a highly cohesive group sets productivity and successful organizational performance as group goals, then these goals will be attained to a much higher degree than low-cohesive groups. However, as leaders, we must be wary of cohesive groups that choose dysfunctional norms and performance standards as their goals. A leader's greatest challenge may be redirecting a highly cohesive group with dysfunctional performance norms towards organizationally desired performance norms.

Member Satisfaction

When there are high levels of interaction and friendly cooperative communications between group members, there is bound to be a sense of member satisfaction from being part of the group. In those moments of triumph when a group pulls together to accomplish some difficult mission, there is indeed great satisfaction.

Of course, it is possible for members to be attracted and committed to the group without being satisfied with the group as a whole. Generally speaking, however, the greater the cohesion, the greater the satisfaction with group membership and the group's goals and efforts.

Group Loyalty and Identification Naturally, groups that offer great satisfaction and that invoke power over members' opinions and actions also invoke and inspire greater loyalty from their members. This in turn leads the group to spend less effort in maintaining its membership (effort which in turn can be directed towards goal accomplishment).

There is also a reciprocal process between loyalty and identification. When members render loyalty to their group, they develop greater psychological identification with them. This identification then elicits greater loyalty from its members.

Elaborate Group Norms and Practices

When a group achieves high cohesion, we begin to see extensive behavioral routines and practices that members perform together in order to express their group uniqueness and identification. Examples might be informal initiations, inside jokes, and ways of kidding one another. Often there are enigmatic rituals and symbols that group members adopt to represent themselves. Just watch the daily operations of your department's traffic (motorcycle) unit. Their unique uniforms, equipment, procedures, and even work hours make them stand out. These norms and practices help members to establish a psychological "we-they" boundary between themselves and the rest of the world. We again see, much like in the other common indicators, that there is a circular relationship here. As the group becomes more cohesive, it creates and develops these unique norms and practices. These unique norms and practices in turn fuel cohesion.

Leader Strategies to Build Cohesion

While it is relatively easy to observe a work group and determine whether they have high or low cohesion, it is another matter entirely for a leader to build and/or maintain a group's cohesion. One strategy is to lead a team through the stages of group development, thereby creating a productive, highly cohesive group. Likewise, a well thought out socialization program may build and perpetuate high cohesiveness. However, these are long term, strategic leader actions.

In the short term, a leader must look back at the six common indicators of cohesion and manipulate these variables to build or maintain a group's cohesion. More specifically, a leader can use some, or all, of the following concepts to influence group cohesion when appropriate:

1. *Sacrifice.* Invoke personal sacrifice toward group endeavors. Like the socialization goal of commitment, work activities requiring hard work by the group will enhance cohesion.
2. *Teamwork.* The leader should look for opportunities that require group cooperation and teamwork for group success.
3. *Interaction.* The extent to which the leader can provide more opportunities for interaction and communication among all group members will enhance cohesion. Don't overlook social events when considering this variable, but social activities alone probably will not enhance cohesion in a work group.
4. *Competition.* When done in a positive and productive manner, competition with outside groups can enhance cohesion. However, when competition leads to keeping other groups from achieving their portion of the organization's mission or digresses to illegal or unethical practices within your group, it becomes counter-productive.

5. *Keep members focused on group activities and purpose.* Again, hard work that is focused on the group's portion of the organization's mission will enhance cohesion.
6. *Unique Norms and Symbols.* The extent to which a leader can reinforce a group's identity will influence cohesion. Special uniforms, or uniform items, as well as special behaviors or privileges, set a group apart from others and build pride and cohesion.
7. *Missions.* Unique challenging group missions, either assigned by the organization as a primary job (e.g., EOD, SWAT, or Homicide Investigation) or extra duty/voluntary requirements (e.g., coordinating holiday DUI checkpoints), will influence group cohesion when successfully accomplished.

This is not an exhaustive list. You may discover others in your leadership activities. However, these theoretical solutions will provide ample ideas. A goal of your classroom activities should be to create a list of potential leader behaviors to operationalize these theoretical leaders' strategies, thereby supplementing your understanding of Cohesion Theory. By the way, the seven variables can be remembered by the acronym STICKUM.

Case Study

Today is your first day as the supervisor of the Street Response Unit (S.R.U.). You are met by its outgoing supervisor, Sergeant Keith Lewis.

Keith extends his hand and says, “Boy, am I glad to see you! I guess the commander told you that I want to go back to patrol. Well, I do! Somehow and somewhere I lost these people. We do a lot of dangerous work—stopping street sales of rock cocaine, serving warrants on career criminals and conducting surveillance for the detectives. I don’t have to tell you how important it is that we know what each other is thinking and how we will react to certain situations. We used to do that. This was one group of cops that was extremely close. Do you remember when everyone in this unit proudly wore jackets and T-shirts with the S.R.U. insignia? Now, we don’t even print them up anymore because no one would want to wear them.

“It all started when the commander replaced some tenured officers, who were peer leaders, with new people. The selections were really surprising—some very talented, hard working officers were not picked. Instead, the perception among S.R.U. officers was that the jobs were given out based upon ethnicity or gender and that merit had nothing to do with it. Whether this is true or not, it caused a lot of problems for me. Most of the officers from the old S.R.U. don’t want to work with the newer officers. Two officers from the old group have asked to be sent back to patrol where they can work with their old S.R.U. buddies. The newer officers feel they are well qualified to work this unit and that they are not being given a chance. There is a lot of animosity between the two groups.

“I remember when the whole S.R.U. team used to go out together after work; it was really a lot of fun. As a matter of fact, the entire unit used to have picnics in the summer and we even had our own Christmas party. Now, I’d be afraid to arrange a function for fear that no one would show up. I’ve talked to my officers over and over about instilling some pride in the unit, but they each seem to go their own way. They seem to be more interested in dropping dimes on each other when one of them makes a mistake. I find myself spending most of my time putting out little brushfires or writing personnel complaints on the big ones!”

“As I said, we work in a variety of dangerous situations here, and we have to rely on each other to get the job done. Looking at the way these people are now, I’m afraid that someone may get seriously hurt. There have been several arguments recently about officers not backing each other up quickly. This is a powder keg and I don’t want to be here when it blows.

“It seems that these officers only care about one thing, themselves. Just last week, after we had helped the Gang Unit serve an arrest warrant, our auto detectives told me where five stolen pickup trucks were stashed. They wanted us to stake out the area. We were already near the end of a watch, and I told the officers we would have to work overtime. There was plenty of cash available for overtime, but no one in the unit wanted to work it. That never happened in the past. Our people used to work for the sake of the job and never worried about the overtime. It’s totally different now.

“I sincerely hope that you have better luck with the unit than I did. When I took over a year ago, it was a hard-charging team. Now it’s really nothing more than a collection of individuals with their own agendas. Well, here are the keys!”

I. **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** the situation using Cohesion Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Which of the Common Indicators of Cohesion are missing (or low) in this group?

How strong is cohesion in this group (high or low)?

Does the group's cohesion support the organization's goals?

III. **Explain** an Area of Interest in terms of how the group's cohesion influences the group's individual, group, and organizational outcomes.

How has the level of cohesion in this group affected the motivation, satisfaction, and/or performance of individual group members?

How has the level of cohesion in this group affected the group's structural dimensions and ability to get their job done?

Has the performance of the organization been affected by the group's level of cohesion? How?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. *Select* an appropriate theoretical leader strategy(ies) that would be effective in this situation.

Which theoretical leader strategy(ies) should the leader use to address the Area(s) of Interest in this situation?

V. *Apply* the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest. The plan should be realistic and holistic, address all the Areas of Interest you have identified, and translate the theoretical leader strategies into action. What will you do and say to whom, when, where, and how?

LESSON 15: DECISION-MAKING IN GROUPS

Introduction

This lesson consists of:

1. Decision-Making in Groups
2. In-class Exercise Situations

Assignment

1. **Read Course Guide**, pages 75-89.
2. **Read** the five In-class Decision-Making Exercises.
3. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using the Normative Decision-Making Model.
 - A. **Classify** the Decision-Making style used by the leader in the situation.
 - B. **Identify**, using the applicable Acceptance and Quality Rules, what the appropriate Decision-Making style should be for the situation.
 - III. **Explain** how the leader's action (the Decision-Making style the leader selected) affected the group's individual, group, and organizational outcomes given the situation's Acceptance and Quality requirements.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.

DECISION-MAKING IN GROUPS

Including followers in the decision process is a very complex issue. Over the last forty years, a great deal of scholarly research has aimed at discovering the ground rules of not only when and how often followers should be allowed to participate, but also at discovering the assets and liabilities associated with the process. This reading is designed to familiarize you with these findings with the ultimate goal of helping leaders make better decisions.

The implementation of participative decision-making (or collective problem solving as it is often called) has a very unclear relationship to any causal increases in productivity. In fact, when productivity is the variable being measured, fully one-half of all studies show that follower participation in decision-making is just as likely to decrease or have no effect on productivity as to increase it. In contrast, the same research also shows that when worker satisfaction is the variable being measured, follower participation consistently produces a satisfied follower. To summarize, although productivity may or may not increase with participation, satisfaction and morale consistently increase when followers have a say in decisions that affect them.

The primary issue is who and how many followers should be included in a situation that requires decision-making. The answer lies in understanding the relative assets and liabilities that are associated with participative decisions. In addition, a leader must be able to apply decision-making rules that will help to match the level of decision participation to the personalities and tasks at hand. Research conducted in this area shows that effective participative decisions seem to be contingent upon a unique set of leader and situational variables.

Assets

In general, the following advantages may result from including followers in the decision process:

1. Greater understanding and acceptance of the decision.
2. Greater commitment and more effective implementation of the decision.
3. By making followers more aware of the logic and reasoning behind the decision, when unforeseen changes occur, they are better able to modify the decision and remain consistent with its original intent.
4. Having influence in the decision leads to feelings of autonomy and task significance, essential core job dimensions.
5. When a decision is finally reached, there is a considerable amount of social pressure on members of the group to comply with the decision. In effect, team identity is reinforced.
6. Establishes a viable communications channel between the boss and followers.

7. Groups have a greater knowledge base and are therefore able to deal with a greater variety of problems.

Liabilities

Unless controlled by the leader, there are potential liabilities associated with participative decisions:

1. It requires more time than a leader-alone decision.
2. It may give the impression that the leader is not competent.
3. It assumes the follower has skills/abilities that are relevant to the decision under consideration.
4. It may give the follower an unrealistic expectation that he/she will be consulted on all decisions.
5. Strong-willed individuals may dominate the process, resulting in a biased decision.

Normative Model of Decision Making

How do we maximize these assets while minimizing the liabilities? A systematic approach to this goal is the **Normative Model of Decision Making**.⁵⁸ The Normative Model discusses the extent to which a leader should incorporate group members into a particular decision process. It's a contingency approach for decision-making. According to this model, some decisions are best made by the leader alone (autocratic); some require information from others (consultative); and some are better left to the group alone (group).

Specifically, the complete range of alternative decision strategies proposed in this model is outlined in these five styles:⁵⁹

1. *Autocratic (AI)*. The decision maker alone solves the problem or makes the decision.
2. *Autocratic (AII)*. The decision maker gets the necessary information from followers, and then decides on the solution to the problem. Followers may or may not be told what the problem is.
3. *Consultative (CI)*. The decision maker shares the problem with followers individually, getting their ideas and suggestions on a one-on-one basis. Then the decision is made by the decision maker (it may or may not reflect the followers' influence).
4. *Consultative (CII)*. The decision maker shares the problem with followers as a group, collectively getting their ideas and suggestions. Then the decision is made by the decision maker, which may or may not reflect followers' influence.
5. *Group (GII)*. The decision maker shares the problem with followers as a group. Together they generate and evaluate alternatives and try to reach agreement on a solution. The leader's role is a lot like a chairperson's. No influence is used to try to get the group

⁵⁸ Vroom, V.H., "A Normative Model of Participation in Decision Making." in *Handbook of Industrial and Organizational Psychology*, ed M.D. Dunnette (Chicago: Rand McNally College Publishing Co., 1976), pp. 1538-1551.

⁵⁹ Ibid. (adapted from).

to adopt the leader's solution, and the leader is willing to accept and use any solution that the whole group supports.

Of course, other decision strategies are available to the leader. But the preceding strategies are the most relevant to organizational leadership situations.

What's the right level of follower participation in the decision making process? It's determined by a set of conceptual rules that were developed by the authors of the Normative Model. The rules protect both the quality and acceptance of the decision. Accordingly, they're designated *quality rules* and *acceptance rules*.⁶⁰

Quality Rules

1. *Leader Information Rule*. If there's a quality requirement, and the leader lacks the information to make a high-quality decision, the leader *should not* use AI.
2. *Goal Congruence Rule*. If there's a quality requirement, and followers don't share organizational goals, GII *should not* be used.
3. *Unstructured Problem Rule*. If there's a quality requirement, the leader lacks the information, and the problem is unstructured, the leader *should* take advantage of the assets of group problem solving by using CII or GII.

Acceptance Rules

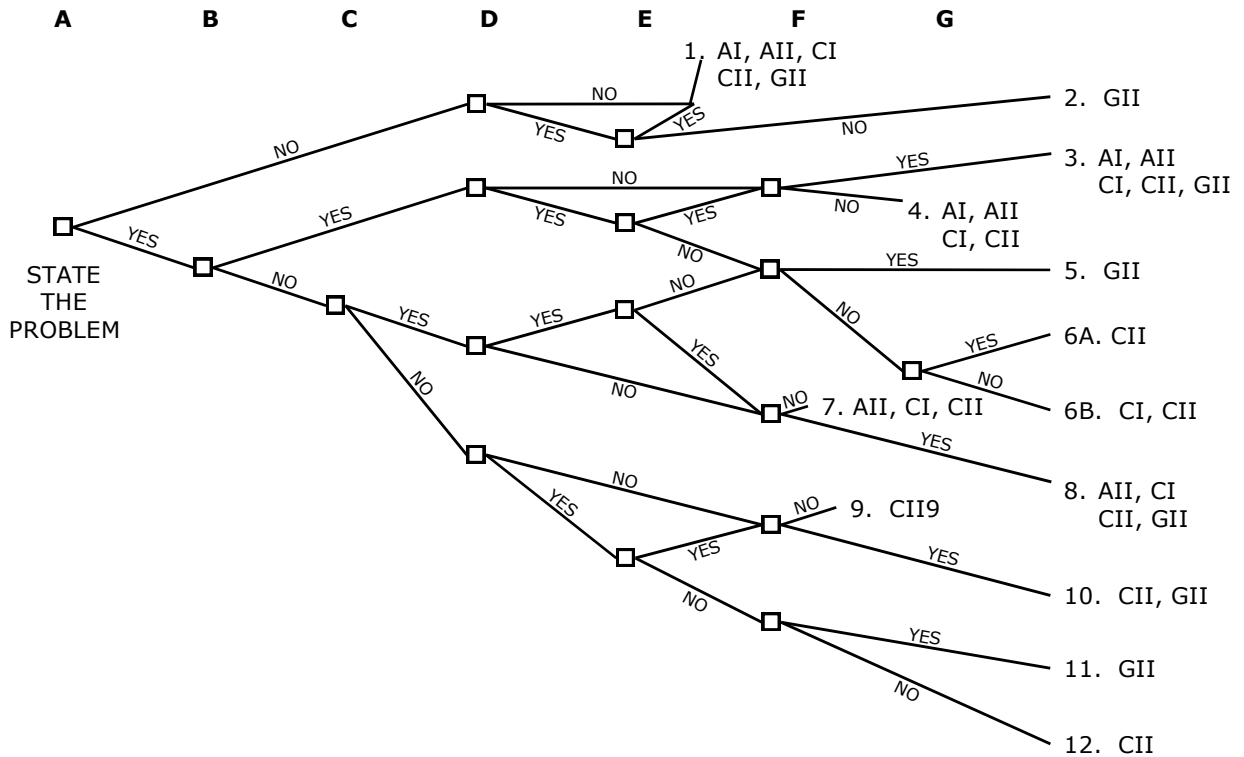
4. *Acceptance Rule*. If the acceptance of the decision is critical but not likely, then the leader *should not* use an autocratic style (not AI or AII).
5. *Conflict Rule*. If acceptance of the decision is critical but not likely, and followers are likely to disagree among themselves about the decision, the leader *should* use CII or GII to allow open discussion of the differences.
6. *Fairness Rule*. If there's no quality requirement, and acceptance is critical, but not likely, GII *should* be used to maximize the probability of acceptance.
7. *Acceptance Priority Rule*. If acceptance is critical but not likely, and followers share the organizational goals, then the leader *should* use GII.

To help leaders learn to apply these rules, they've been arranged in the decision process flow chart shown in Figure 24. The procedure for using this decision tree is straightforward. After stating the problem, the leader follows the decision tree, stopping at each applicable node to respond to the question that's indicated. The questions come from the decision rules above, and compliance with each of the rules is ensured by following the branches of the decision tree. When responding to the questions in the order indicated, the leader merely indicates whether that attribute is present (yes or no). If the leader isn't sure, then it's necessary to revert to the decision rule that applies. We'll review each of the critical questions here. You may want to refer simultaneously to Figure 24 to see the relationship between questions and decision strategies.⁶¹

⁶⁰ Adapted from P.W. Yetton, and G. Jago, "A Normative Model of Leadership Styles." manuscript number NM30675 (New Haven, Conn: Yale University, 1974).

⁶¹ Vroom, *op. cit.*

Figure 24. Decision Process Flow Chart⁶²



Question A: Is there a quality requirement so that one solution will be more rational than another? This highlights the importance of finding a high-quality solution apart from the need to satisfy any group acceptance criteria.

A “yes” response indicates that some solutions are better than others in attaining external objectives (less costly, more likely to succeed). The decision maker may not know which course of action is best, only that it’s going to make a vital difference. A “no” response says that within the constraints of the problem, the decision maker may be indifferent to the possible solutions, provided that they’re acceptable to those affected by them. There’s no technical or rational basis for selecting among solutions in terms of contribution to the attainment of external goals.

Question B: Does the leader have enough information to make a high-quality decision? This refers to whether the decision maker has sufficient information (not necessarily the best information) and expertise (relevant to the technical side of the problem) to solve the

⁶² From “A Normative Model of Participation in Decision Making,” Victor H. Vroom, in *Handbook of Industrial and Organizational Psychology*, M.D. Dunnette (ed), Rand McNally College Publishing Co. Reprinted by permission of John Wiley & Sons, Inc.

problem without followers' help. Is there enough information for the decision maker to achieve external objectives?

A "yes" response indicates that the leader has access to such information. A "no" response says that the leader needs input from others.

Question C: Is the problem structured? Structure refers to how clear-cut the problem is in terms of procedures, progress, and measurability.

A "yes" response indicates that alternative courses of action and evaluation criteria are both obvious to the leader, or that the information search is quite simple. A "no" response indicates that alternatives aren't obvious and must be created. Often there may be difficulty defining the problem.

Question D: Is acceptance of the decision by followers critical to effective implementation? This refers to the importance of gaining acceptance or commitment to whatever solution or decision is eventually made.

A "yes" response indicates that the success or failure of the decision hinges on the enthusiastic support of followers. If the followers will be executing the decision, thus requiring their initiative, judgment, and thinking, or if followers will feel so strongly about the decision that they might block its execution (or leave the organization)—the response should be "yes."

A "no" response says that followers won't be involved in executing the decision or that they'll merely carry out a set of routine and preplanned steps. Any unilateral decision will be met with indifference on their part.

Question E: If the leader makes the decision unilaterally, will it be accepted by followers? There are some circumstances where the leader's autocratic decision will be unquestionably accepted. Remember that the power of the leader is a critical factor in acceptance. If he or she has enough legitimate power, for example, followers may feel that the leader should in fact make the decision. With sufficient expert power, followers may feel that the leader is the expert (that he or she has greater wisdom or knowledge than they do on the technical issues). Also, with sufficient *referent power*—where followers greatly admire the leader and value his or her approval—they may be ready to accept an autocratic decision.

A "yes" response indicates that the leader feels followers would accept unilateral decisions. A "no" response says that the leader isn't sure that followers would accept a decision they're not involved in.

Question F: Do followers share the organizational goals to be attained in solving this problem? This refers to how motivated followers are in pursuing a solution to the problem that reflects the goals of the organization (rather than their own self interest).

A "yes" response indicates that followers would try to promote organizational objectives. A "no" response says that followers may violate organizational goals; that they're likely to prefer solutions that are easy or comfortable or that help in attaining their personal goals rather than the organization's.

Question G: Is conflict among followers likely in preferred solutions? This refers to whether or not a leader can expect disagreement to exist among followers in their solutions to the problems. Will followers tend to have widely varying opinions about solutions?

A “yes” response indicates that the leader feels such conflict might exist. A “no” response indicates that such conflict is unlikely.

Depending on the sequence of the leader’s responses, one of twelve terminal nodes will be reached. At each of these nodes is a feasible set, or listing, of the decision processes that don’t violate any of the decision rules. When the feasible set has more than one style, the leader is free to use any one of them without violating a rule.

To help decide which one to select, the authors suggest that time may be an additional criterion. If time is critical, then the leader may use the most autocratic process within the feasible set (e.g., for node 8, AII). If time isn’t critical and the leader is more interested in follower development, the most participative process should be selected (e.g., for node 8, GII). Once the appropriate decision action is determined, the leader may use other strategies to reach an actual solution to the problem. Unfortunately, there are two basic problems with the Normative Model. First, while its authors cite evidence showing better decision making capabilities among leaders trained to use it,⁶³ its relationship to organizational performance hasn’t been established. Can the Normative Model predict group performance or teach leaders how to improve performance by using the prescribed decision process?

The second problem is that it assumes a lot of flexibility on the leader’s part. As with other models that prescribe changes in leader behavior, we need to ask if leaders are really able to change from an autocratic mode to a fully participative mode or vice versa. As one pair of authors points out, “Experience suggests that some people have a great deal of difficulty letting anybody else in on the decision making act, while others find it very difficult to make their decisions without consultation and extensive discussion.”⁶⁴ What is your experience? Remember this issue because it will resurface in the next area.

⁶³ Vroom, *op. cit.*

⁶⁴ Bons, P.M. and F.E. Fiedler, “Leadership,” in *Encyclopedia of Professional Management*, ed. L.R. Bittel (New York: McGraw-Hill Book Co., 1978), pp. 616-618.

In-Class Decision-Making Exercise

The following collection of situations provides the opportunity to apply the Vroom-Yetton Normative Model of Decision-Making. For this lesson, follow the process described in our reading for this lesson to solve each situation. More specifically, for **each** situation:

I. **Identify** the Areas of Interest.

What decision is required in this situation?

II. **Analyze** the situation using the Normative Decision-Making Model.

Using the applicable Acceptance and Quality Rules, what is (are) the appropriate Decision-Making style(s) for the situation? If you use the flow chart in Figure 24, write down the answers to each applicable question. If you use the rules, note which rules apply.

<p>Note: Steps II.A. and III. (see page 271) are not required in these cases as you are not analyzing a dysfunctional situation and subsequently supplying a correct leader action. Rather, in these situations, you are only supplying a theoretically correct leader action.</p>
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IV. **Select** an appropriate theoretical leader strategy(ies) that would be effective in this situation.

From your analysis above, which leader decision-making style(s) addresses the Area of Interest?

V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest. The plan should be realistic and holistic, address all the Areas of Interest you have identified, and translate the theoretical leader strategies into action. What will you do and say to whom, when, where, and how?

VI. **Assess** the effectiveness of your leader plan and revise as needed. After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, “What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?”

Situation 1

Setting: Manufacturing Organization

Your position: Assistant Vice-president

Your New York office has recently appointed you assistant vice-president, and you are responsible for the firm’s Midwest manufacturing operations. Your office will be located in a new plant that is presently under construction outside of Chicago. Your team of five department heads has been selected and they are now working with you in selecting their own staff, purchasing equipment, and anticipating the problems that are likely to arise when you move into the plant in three months.

Yesterday, you received a final set of plans for the building from the architect, and for the first time, you examined the parking facilities that are available. There is a large lot across the road from the plant intended primarily for hourly workers and lower-level supervisory personnel. In addition, there are seven spaces immediately adjacent to the administrative offices, intended for visitors and reserved parking. Company policy requires that a minimum of three spaces be made available for visitor parking, leaving you only four spaces to allocate between yourself and your five department heads. There is no way of increasing the total number of such spaces without changing the structure of the building.

Up till now, there have been no obvious status differences among your team members, who have worked together very well in the planning phase of the operation. There are, however, salary differences, with your administrative, manufacturing, and engineering managers receiving slightly more than the quality control and industrial relations managers. Each has recently been promoted to his new position and expects reserved parking privileges as a consequence of his new status. From past experience, you know that people feel strongly about things that are indicative of their status. So far you and your followers have been working together as a team and you are reluctant to do anything that might jeopardize these relationships.

Circle the Decision Process you would use in this case.

AI AII CI CII GII

Explain your choice.

Situation 2

Setting: Corporate Headquarters

Your Position: Vice-president

The sales executives in your home office spend a great deal of time visiting regional sales offices. As marketing vice-president, you are concerned that the expenses incurred on these trips are excessive, especially now when the economic outlook seems bleak and general belt tightening measures are being carried out in every department.

Having recently been promoted from within your work group, you are keenly aware of some cost-saving measures that could be introduced. In fact, you have asked the accounting department to review a sample of past expense reports, and they have agreed with your conclusion that several highly favored travel luxuries could be curtailed. Your executives, for example, could restrict first-class air travel to only those occasions when economy class is unavailable, and airport limousine service to hotels could be used instead of taxis where possible, etc. Even more savings could be made if your personnel carefully planned trips so that multiple purposes could be achieved when possible.

The success of any cost saving measures, however, depends on the commitment of your employees. You do not have the time (nor the desire) to closely review the expense reports of these executives. You suspect, though, that they do not share your concerns over the matter. Having once been in their position, you know they feel deserving of travel amenities.

The problem is to determine which changes, if any, are to be made in current travel and expense account practices in light of the new economic conditions.

Circle the Decision Process you would use in this case.

AI AII CI CII GII

Explain your choice.

Situation 3

Setting: New Division

Your Position: Purchasing Agent

Recently a new division has been established that consists of three plants recently bought from three other companies. You are the purchasing agent for that division and as such, have coordinating responsibility for the three plant purchasing agents. The job specifications and organization chart for the new division, however, give you no formal authority over the agents, who report directly to their own plant managers.

Two weeks ago at a meeting that you attended, concern was expressed by the plant purchasing agents about the problems that have been occurring in inter-plant purchases. The different coding procedures and formats used by the companies prior to acquisition are still in use and are causing, as a result of misunderstandings, errors in shipments between plants. At the meeting, feelings were running high, and each agent was attributing blame for the errors to the other agents. The outcome of the meeting, however, was a view that the problem could be solved by a universal format for implementation in all of the plants. Naturally, each agent would prefer the system to which he has been accustomed and, in recognition of their likely inability to resolve this issue without further disagreement, they asked you to resolve the issue by selecting a universal format for use in all plants.

You have examined each of the formats in use and can see no advantage in retaining any particular system either for technical reasons or because any plant handles substantially more inter-plant purchases than any other. The next meeting of this group is on Friday. It would be highly desirable if the issue could be resolved at that time.

Circle the Decision Process you would use in this case.

AI AII CI CII GII

Explain your choice.

Situation 4

Setting: Corporate Headquarters

Your Position: Departmental Administrative Assistant

As a result of declining profits, all departments in the company have been asked to trim non-essential expenditures. You are the administrative assistant in one department and have responsibility for the secretarial staff and their equipment. You have decided to investigate the department's need for the large, fast, and highly flexible copier that it's currently using. If it could be replaced with one of several cheaper machines on the market, a substantial cost saving could be affected. You have the specifications for both the present and smaller machines, and the salesmen have advised you of various factors which should govern the choice of machine, including utilization rates, number of copies required, and fidelity of reproduction necessary. The secretarial staff can easily provide you with these data.

The secretaries would like to retain the present machine. They are much less concerned than you about cost and are very cognizant of the many advantages the larger machine offers in ease of operation. If you installed the smaller machine, they might need to improvise on some jobs or take the work over to another department, which would waste a lot of time. The staff could make life difficult for you by using any excuse to go over to the other department. The potential waste of time involved would mean that you would have to rule on each individual case, as no general set of regulations could be established to cover all contingencies.

Even though they will obviously be affected, all the secretaries know what a substantial amount of money is involved and believe that making these decisions is what you are paid for. It is an office joke that none of them would want your job and its responsibilities.

Circle the Decision Process you would use in this case.

AI AII CI CII GII

Explain your choice.

Situation 5

Setting: Bank

Your Position: President

You are president of a small but growing Midwest bank that has its head office in the state capital and branches in several nearby market towns. The main banking functions are all related to agriculture. The location and type of business are factors that contribute to the emphasis on traditional and conservative banking practices at all levels.

You have recently acquired funds to permit the opening of a new branch. You believe there is no way to be certain that a new site will be successful, but you know from past experience that there are common sense criteria that can be applied to its selection. Your staff has provided you with a survey of suitable real estate opportunities in a number of communities in which you are interested. You have also received the results from a modest market survey of these areas performed by an outside agency at your request. Your experience in banking tells you this information, once integrated, is sufficient to make the decision.

Given their field experience, your branch managers are also quite knowledgeable about the areas in question. Many of the prospective sites, however, are sure to take some of the business from the existing branches; an outcome your current managers would unanimously oppose. You think they might support a distant site that will have minimum impact on their status quo operations. In terms of the bank's overall profitability, however, this might not be the most favorable site.

Your branch managers, nonetheless, realize that this decision is part of your responsibility. They are also aware that their roles in setting up the new facility will be minimal. No major reassignment of personnel is expected.

Circle the Decision Process you would use in this case.

AI AII CI CII GII

Explain your choice.

LESSON 16:

INTERGROUP CONFLICT MANAGEMENT

Introduction

This lesson consists of:

1. Intergroup Conflict Management
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 91-112.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Intergroup Conflict Management.
 - A. **Identify** the Source(s) of Intergroup Conflict evident in the situation.
 - B. **Identify** any Intergroup Conflict Resolution Strategy(ies) evident in the situation.
 - III. **Explain** an Area of Interest in terms of the how the intergroup conflict affected the group's individual, group, and organizational outcomes.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
3. **Complete a Student Journal entry** for Intergroup Conflict Management.

Using any group that you belong(ed) to in your department, briefly describe any conflict between your group and another group in the department. Describe which Sources of Intergroup Conflict were responsible for the conflict between the two groups. Were any of the Intergroup Conflict Resolution Strategies applied? If so, which ones and by whom? What was the impact of this intergroup conflict on the group's individual, group, and organizational outcomes? What other strategy(ies) could have been employed to manage this intergroup conflict?

INTERGROUP CONFLICT MANAGEMENT

One of our goals as police leaders is to build cohesive, high performing teams that work toward the organization's goals through cooperation with other work groups. Competition between these functional groups is inevitable and can benefit the overall organizational performance; but competition can sometimes become conflict and this can hamper mission accomplishment.

The symptoms of conflict are sometimes blatant and obvious, such as physical fights or arguments. They can also be subtle. When one unit denigrates the work of another, when mechanics take longer than necessary to maintain the vehicles of the officers who have been rude to them, or the patrol sergeant does not wish to surrender control of a crime scene to the arriving S.W.A.T. Team, then intergroup conflict has become dysfunctional.

Most of the time, the problem is not a villainous scheme to subvert the mission but an honest difference in what is seen as the best way to get the job done. Organizational policies and procedures, or even individual leaders, can set the stage for conflict between groups to erupt. Consider, for example, the built-in conflict between the training division and geographic patrol divisions. The training division seeks to bring all officers into compliance with state training requirements, proactively address tactical or human relations shortcomings, mitigate civil liability, and improve the professionalism and knowledge base of the police department's personnel resources. Contrast these noble, defensible goals with those of the field divisions who have radio calls to answer, problems to be resolved, crimes to be investigated, and citizens demanding to be served.

In this example, and in hundreds of others that will occur during your career, the employees of each division will feel righteous and correct in their attempts to achieve their own objectives. Bolstered by the cohesive effect of their team, they will staunchly defend their own positions and aggressively attack any other point of view. From the organizational perspective, we must find ways to reduce friction and restore productivity.

For leaders, an understanding of **Intergroup Conflict Management** can elevate such controversies above mere personality conflicts. Once the **Sources of Intergroup Conflict** are identified, they can be viewed as symptoms of the organization's overall strengths and weaknesses. Leadership decisions and strategies can then be devised to address the specific situation. Informed, enlightened leaders do not necessarily seek to eliminate conflict but rather to manage it and use such disagreements to diagnose and repair systemic weaknesses. Through this process, police leaders can facilitate an environment of teamwork that significantly enhances effectiveness and efficiency for everyone both in and outside of the organization.

In this lesson, we will examine how to identify present and potential Sources of Intergroup Conflict as well as **Conflict Resolution Strategies** the leader can use to prevent or recover from dysfunctional conflict.

Sources of Intergroup Conflict

There are several important factors that may contribute to intergroup conflict. Among them are goal orientation, time orientation, the tangible nature of work, frequency of interaction, physical separation, competition over scarce resources, and ambiguous work assignments. A thorough look at each of these will help the leader understand why conflict often occurs when groups interact. Understanding these variables will help the leader more effectively manage the conflict while improving the organization's effectiveness.

Goal Orientation

Within groups, individuals generally share similar goals. Members of a maintenance and supply (M&S) group, for example, would probably agree on a goal of minimizing the cost of supplies and repair parts. Logically, then, they'd want to limit the time spent using the equipment in order to reduce wear and tear. They'd also want to limit its use to experienced workers to prevent the equipment from being damaged or misused.

Another subgroup within this same work group, however, may have a different, even conflicting, goal orientation. To use another example, an operations and training (O&T) group would probably have the goal of using the equipment as much as they can in order to improve their group's effectiveness. They'd also want to use the equipment to train new and inexperienced followers. Here are two sections, then, within the same group with totally different goal orientations.⁶⁵

Often the way one group does something doesn't make sense to the other group. For example, the O&T section may have trouble understanding why the M&S section is so adamant about limiting equipment wear and tear. It's a fact of modern life that organizations simultaneously pursue many different goals and that various work groups within the organization are tasked to pursue those goals. Research has shown that goal incompatibility is the most frequently identified source of intergroup conflict.⁶⁶

Time Orientation

In the same way, various groups within an organization may have different ideas about the time needed to see the results of their efforts. One group may be able to see quick results, while another group may have to wait. This is called a *difference in time orientation*.⁶⁷

Tasks that are relatively predictable—such as requisitioning supplies—lend themselves to shorter deadlines, while more ambiguous and uncertain tasks—as in a leadership training and development program—require longer deadlines.⁶⁸ Impatience between groups about the relative speed of outcomes often results in conflict.

Tangible Nature of Work

Some groups in an organization are able to produce tangible, measurable results, such as the M&S section. It's relatively easy to know if equipment is working or if the amount of

⁶⁵ Lawrence, P.R. and J.W. Lorsch, *Organization and Environment* (Homewood, Illinois: Richard D. Irwin, 1967), pp. 36-39.

⁶⁶ *Ibid.*, pp. 36-39.

⁶⁷ *Ibid.*, pp. 34-36.

⁶⁸ *Ibid.*, pp. 34-36.

supplies is adequate. One simply observes and/or counts. But what does the O&T section produce? Efficient junior leaders? Effective training? Preparedness? And how do you know? There's a critical difference between these two sample subgroups in the tangible nature of their work. Not only must the O&T section wait for the results of its programs, it may also be quite hard to observe and measure those results. Vital differences like these may further contribute to conflict among groups.

Frequency of Interaction

Within a group, members tend to interact with one another fairly often. As a result, they're able to know each other well (personalities, habits, idiosyncrasies) and better understand each other's problems. Consider the members of the M&S section. Although they may work on different aspects of the final product, they probably have many chances to interact on a daily basis. And in addition to interacting during work, they probably arrive every day at the same time, take breaks together, and finish their day's work together. Both formally and informally, they have lots of opportunity for interaction and communication.

This isn't often the case, however, in intergroup situations. Certain organizational groups may only interact on an infrequent, irregular basis—they have no reason to interact more than that. So the members of these groups have little opportunity to get to know or understand each other. Infrequent interaction can lead to intergroup conflict when the groups do meet and need to cooperate to accomplish an organizational goal.

Physical Separation

The physical separation of groups is another factor to consider in intergroup relations. Two groups can't often be in the same place at the same time. And the larger the organization, the farther away groups tend to be.⁶⁹ Even in a small organization, groups are likely to be in separate locations—possibly in different buildings. In larger organizations, groups may be in different geographic locations altogether.

Although computers and other advanced technologies (such as videoconferencing) have helped ease group communication, physical separation is still problematic for the organizational leader. It's simply harder to communicate well when groups are separated. Often, communication tends to be more formal and written rather than verbal. People lose spontaneity and even clarity in some cases.

Also, when groups are physically separated, they tend to develop their own identities apart from other groups in the organization. As a result, group members within a single location can easily focus on their own problems but not on the problems of other groups. Particularly when interaction is infrequent, members of one group are likely to see things completely differently from members of another group. This leads to different perceptions and attitudes, both of which significantly influence the behavior of one group toward another. Researchers have found that groups tend to devalue the activities of other groups and magnify the achievements of their own.⁷⁰ This can quickly result in a "we-they" syndrome within an organization.

⁶⁹ Boulding, K.E., "Organization and Conflict," in *Groups and Organizations*, eds. Bernard L. Hinton and H. Joseph Pertz (Belmont, California: Wadsworth Publishing Company, 1971), pp. 362-363.

⁷⁰ Blake, R.R. and J.S. Mouton, "Comprehension of Own and of Outgroup Positions Under Intergroup Competition," *The Journal of Conflict Resolution* (1961), 5, pp. 304-310.

We often base our perceptions of other groups on our own experiences; these different perceptions can easily lead to misunderstanding and disharmony.⁷¹ When groups interact infrequently, a single individual may determine the perception of an entire group. So one negative experience may lead to adverse relationships with the entire group. That single experience—combined with the problems of physical separation—can conceivably affect the future relations of two groups in an organization.

Competition over Scarce Resources

The resources of most organizations are limited and sometimes scarce. When organizational resources such as money, space, or human resources are scarce, there are likely to be problems among the groups competing for them. Sometimes the competition can be fierce, especially if accomplishing a task is at stake.

Consider the organization about to determine its annual operating budget. This is frequently an example of a win-lose situation for groups within an organization. If one group receives a large operating budget, it does so at the expense of other groups. Capital expenditures, of course, are limited. Someone has to decide whether scarce funds will, for example, be allocated to modernizing maintenance facilities or securing more training facilities. Predictably, each of those sides will have very different opinions as to which of these programs is more important.

Research has shown that when competition occurs between groups, the members of each group tend to close ranks. They become more single-minded and unified in their purpose. A new, clear goal is in sight—to win, sometimes even at the expense of the organization's goal.⁷² Often, group leaders inadvertently exacerbate the situation by demanding loyalty, developing slogans, or otherwise raising the level of emotion. These efforts often transcend the issue at hand and lead to hostility between groups (the fight after a big football or basketball game reflects such misguided enthusiasm for “our team”). Since competition over scarce resources is pervasive in many organizations, we'll take a close look at the winners and losers of these competitions.

While winners remain cohesive, they may release tension, lose their fighting spirit, and become complacent, casual, and playful. This may lead to a “fat and happy” attitude. Winners become more concerned about members' needs rather than about work. They may feel that winning has confirmed their positive self-image and the negative image of their opponents. There's seldom a reevaluation of perceptions or a reexamination of the group's operations in order to improve upon them.

For the losers, there's a strong tendency to deny or distort the reality of losing. Losers try to find psychological escapes such as “the judges were biased,” “the boss didn't really understand our solution,” or “the rules of the game weren't clearly explained.”

If the loss is accepted, the losing group may splinter, causing unresolved group conflicts to rise to the surface. Losers are sometimes more tense, ready to work harder, or desperate to find someone or something to blame. They may blame the leader, the judges who decided against them, or the rules of the game. Also, losers often show poor cooperation within their group and little concern for other members' needs. On the other

⁷¹ Dearborn, D.C. and H.A. Simon, “Selective Perception: A Note on the Departmental Identification of Executives,” *Sociometry*, 21, (1958), pp. 140-144.

⁷² Blake, R.R. and J.S. Mouton, “Reactions to Intergroup Competition Under Win-Lose Conditions,” *Management Science*, Vol. 4, (July 1961).

hand, losers learn a great deal about themselves—the previously positive stereotype of their group and the negative stereotype of the other group have been upset. This forces a reevaluation of perceptions. Consequently, once the loss has been accepted realistically, the losing group is likely to reorganize and may even become more cohesive and effective as they work together to ensure they don't lose again.

In a win-lose situation, there clearly are costs and benefits for both the winner and the loser that the leader must monitor to ensure that neither work group loses efficiency.⁷³

Ambiguous Work Assignments

Organization leaders sometimes contribute to intergroup conflict by assigning ambiguous tasks with little direction. Most of the time, the ambiguity results in conflict among groups. Consider the leader who calls two department heads together, one from the M&S section and one from the O&T section. The directions are, "I want the two of you to see what we can do to improve our organization's morale. Report back to me in two weeks." The staffs of these two department heads will probably become involved in research and discussion. No one will really have a clear idea about lines of authority, who's responsible for what, and what priority this task should be given. It's likely that the two groups will have different perspectives on this situation. Unless their work is closely coordinated, these groups may clash as they try to accomplish their ambiguous work assignment.

We've seen that differences among groups lead to conflict. So, we can reasonably conclude that conflict among groups is inevitable. Given this conclusion, how can the leader learn to stamp conflict out?

Is Conflict Necessarily Bad?

Historically, leaders have viewed conflict as undesirable—something to eliminate.⁷⁴ Clearly, there are dysfunctional aspects of conflict between groups. Just like individuals, groups have only so much energy. If their energy is totally consumed with scheming against or attacking other groups, little will be left for accomplishing their primary organizational responsibilities.⁷⁵

Yet conflict between groups is not always dysfunctional. Intergroup conflict may play a very useful and even positive role in organizational life. Let's explore this role.

For one thing, intergroup conflict may provide a stimulus for change.⁷⁶ When operations run smoothly and there's no conflict, groups may not engage in the self-analysis and evaluation that can lead to greater effectiveness. Instead, they may become stagnant, unable to realize the potential for growth and development. Another point is that intergroup conflict tends to stimulate interest and curiosity in the operations of the organization. This creates a greater diversity of viewpoints, an exchange of ideas, and a heightened sense of

⁷³ Schein, E. H., *Organizational Psychology* (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1970), pp. 98-99.

⁷⁴ Mooney, J.D., *The Principles of Organization*, rev. ed. (New York: Harper and Row, 1947), among many other sources.

⁷⁵ Seller, J.A., "Diagnosing Interdepartmental Conflict," *Harvard Business Review*, (September-October, 1963), pp. 66-67.

⁷⁶ Boulding, K.E., "Two Principles of Conflict," in *Power and Conflict in Organizations*, eds. R.L. Kahn and K.E. Boulding (New York: Basic Books, 1964), p. 76.

urgency⁷⁷ resulting in an increase in the innovation of individual group members and the entire system.⁷⁸ Finally, groups engaged in conflict may better understand their own positions because conflict forces them to articulate their views and present supporting arguments.⁷⁹

The leader may not be helping the organization if he or she tries to eliminate intergroup conflict. Valuable information may be lost. The inevitable conflict among subgroups may, in fact, help the organization explore diverse issues and determine priorities. So the challenge facing the leader is not to eliminate conflict but to manage it in order to minimize the dysfunctional aspects and capitalize on the positive aspects. Since one group's gains are not necessarily another group's losses, the conflict may yield new arrangements that benefit both groups. With this challenge in mind, we'll next look at some strategies a leader may use to manage intergroup conflict.

Intergroup Conflict Resolution Strategies

Assume that the leader has determined that action is necessary to bring intergroup conflict under control. What to do? The insightful leader may elect, having carefully assessed the cause(s), to take direct action on the cause. At other times, the leader may not be able to directly influence the source of intergroup conflict. The leader may lack the resources or authority to influence the situation. What then? In this section we'll examine five strategies available to the leader that may resolve conflict. These potential strategies include:

1. Avoidance
2. Establishing liaison groups
3. Introducing superordinate goals
4. Forcing
5. Problem solving

Let's explore each in turn.

Avoidance

Intergroup conflict is often uncomfortable for the leader as well as for group members. People tend to avoid conflict or show a tendency to do so. The organizational leader may choose a passive strategy that ranges from ignoring the conflict—in the hope that groups will work out their differences for themselves—to limiting the amount and frequency of their interaction. A leader may follow this strategy as long as the conflict doesn't become seriously dysfunctional to the organization's effectiveness. If the leader chooses to do

⁷⁷ Deutsch, M., "Toward an Understanding of Conflict," *International Journal of Group Tensions*, (January-March, 1971), 1, pp. 42-54.

⁷⁸ Walton, R.E., *International Peacemaking: Confrontation and Third Party Consultation* (Reading, Mass: Addison-Wesley, 1969, p. 5).

⁷⁹ *Ibid.*, p. 5.19 Follet, M.P., in *Dynamic Administration. The Collected Papers of M.P. Follet*, eds. H.C. Metcalf and L. Urwick (New York: Harper and Brothers, 1941), 20 Blake, R.R., H.A. Shephard, and J.S. Mouton, *Managing Intergroup Conflict in Industry* (Gulf Publishing Company: Houston, Texas, 1964, p. 71).

anything at all, he or she may focus the attention of the groups on their commonalities while trying to minimize any differences.⁸⁰

The avoidance strategy doesn't look for sources of intergroup conflict; so they remain, festering below the surface. The risk to the leader is that the intensity of intergroup conflict may strongly increase at an inopportune time with very dysfunctional organizational outcomes. The result of pursuing this strategy is that a lot of resources may be needed to manage conflict later, often when the organization can ill afford such expenditures.

The challenge to the leader who pursues this strategy is to carefully monitor the degree and intensity of intergroup conflict and look at the possible impact of strained relations. Although avoidance is appropriate in some situations of low-level intergroup conflict, often the leader will have to take a more active role in managing conflict.

Liaison Groups

A second conflict management strategy for the leader to consider is establishing liaison groups. Let's use the example of the supply and training groups again. Normally, they have little reason to interact. But if their organization suddenly gets an influx of new and untrained personnel, these two groups will need to interact because the training goal can't be completed unless sufficient types and quantities of supplies are available on a timely basis. The leader may pursue a strategy of establishing a liaison group to manage the groups' interactions. The liaison role can be described as an internal boundary bridging the gap between two groups.⁸¹

Here's something vital for the leader to consider. The role of representative to a liaison group is not easy or comfortable. Studies have shown that members of liaison groups tend to experience lower job satisfaction, higher role conflict and ambiguity, and other negative consequences from their position.⁸² The challenge facing the leader is to select individuals who are highly capable of performing this boundary-spanning role and/or rotating this responsibility among different group members to reduce the drawbacks listed above. The strategy of liaison group creation, by the way, is also appropriate when conflict emerges between organizational groups that interact frequently.

⁸⁰ *Ibid.*, p. 71.

⁸¹ Kahn, R.L., et al., *Organizational Stress: Studies in Role Conflict and Ambiguity* (New York: John Wiley and Sons, 1964), p. 101.

⁸² Galbraith, J.W., *Designing Complex Organizations* (Reading, Mass: Addison-Wesley, 1973), p. 15.

Superordinate Goals

Introducing *superordinate goals*, or higher goals that can only be achieved through the cooperation of conflicting groups, is a third conflict management strategy. Where mutual dependence between groups exists, this strategy can help the leader improve organizational effectiveness. Consider the conflict between the M&S and O&T groups over the frequency of placing supply orders. M&S wants to lower the frequency of placing orders because there are administrative costs connected with them. In contrast, O&T wants a higher frequency of placing orders; its demand for supplies fluctuates greatly throughout the year. They can't afford to be without supplies when they need them, and they don't want to accumulate them when they don't need them. The intergroup conflict is clear.

Because of these groups' mutual dependence, a superordinate goal may be effective. For example, the leader may tell them to double the organization's output. This goal, which is compelling and appealing to members of both groups, can't be achieved by just one group working alone. Both groups have to pull together.⁸³ Think of it as creating a common enemy against which the conflicting groups must unite to conquer. Both groups must give-and-take to achieve their goal.⁸⁴

Cooperation between groups, necessitated by new superordinate goals, may help reduce existing intergroup conflict. The organizational leader may in fact benefit from this intergroup conflict—it now leads to a clarification of the superordinate goal.

Forcing

The fourth strategy for handling intergroup conflict is an approach often seen in hierarchical organizations—forcing.⁸⁵ In this strategy, the leader or the groups engaged in the conflict will try to use whatever power available to them to manage and ultimately force an end to the conflict. In effect, the leader mandates a resolution. This resolution may be the result of a compromise between the groups' positions or simply a decision that happens to favor one group over another.

From the perspective of the conflicting groups, two alternatives are available as leads to a forcing procedure. First, one of the groups can directly seek support for its position from the leader and thus force a unilateral solution to the problem. Second, one of the groups can try to gain power by forming a coalition with other groups in the organization. The solid front that results from such coalitions can often force other groups in the organization to accept a particular position.⁸⁶

The essence of the forcing strategy is that it marshals and uses power. It has two major advantages. First, this strategy uses only a limited amount of time and resources because it's the leader and the leader alone who mandates the resolution. This is particularly effective when the conflict is resolved by a higher organizational leader. Second, the presence of a forcing strategy leads to some kind of decision rather than simply avoiding problems.

The major disadvantage to the forcing strategy is that important information may not have been considered. Some groups, feeling that their point of view wasn't taken into

⁸³ Sherif, M. and C.W. Sherif, *Social Psychology* (New York. Harper and Row, 1969), p. 256.

⁸⁴ *Ibid.*, p. 266.

⁸⁵ Lawrence and Lorsch, *op. cit.* p. 75.

⁸⁶ *Ibid.*, p. 75.

account, may not be motivated to carry out the decisions very efficiently. In the short term, the forcing strategy may save time for the leader, but it may ultimately require an even greater expenditure of time and other resources to later manage more intense intergroup conflict.

Problem Solving

The fifth and final strategy for managing intergroup conflict is problem solving. It's the most confrontational approach of all, because it brings together representatives of the conflicting groups in one location to air and resolve their differences. The goals in a meeting like this are to define the problems, find the origins of disagreement, propose alternatives, and ultimately reach a mutually satisfying resolution. This type of face-to-face communication can ease understanding between groups if it's effectively managed. Research has shown that better performing organizations tend to manage conflict by confronting it rather than avoiding it for two reasons.⁸⁷ First, groups can begin to empathize with the concerns of the other group. No longer do issues seem only black and white. Groups learn that they're not the only ones with genuine problems. Second, a problem solving session can be a catharsis for the involved parties providing an opportunity for each group to vent their emotions. Often, this serves to clear the air and thus prevent other conflicts.

One approach to problem solving that's designed to handle longstanding conflict is called **Image Exchanging**.⁸⁸ In this approach, groups can see how other groups perceive them. The activity proceeds as follows:

1. Each group writes down its self-image and its image of the other group. Groups are encouraged to write down whatever they feel or think; consensus is not mandatory.
2. Each group assigns a representative to present the images to the other group.
3. The groups then meet separately to discuss what kind of behavior might have led to the image formed by the other group.
4. The conclusions reached about each group's behavior are then exchanged with the other group and jointly discussed.
5. In the final stage, specific action plans are developed and designed to reduce the discrepancy between each group's self-image and the image held by the other group. Usually, plans can't be developed to reduce all the discrepancies. The goal is for each group to develop methods of relating that will reduce conflict and increase cooperation.⁸⁹

⁸⁷ Walton, R.E., "Third Party Roles in Interdepartmental Conflict," *Industrial Relations*, Vol. 7, No. 1, (October 1967).

⁸⁸ DuBrin, A.J., *The Practice of Managerial Psychology* (New York: Pergamon Press, Inc., 1972), p. 221.

⁸⁹ *Ibid.*, p. 222.

Sometimes it's appropriate to use a third-party consultant, rather than the organizational leader, to facilitate a problem-solving session.⁹⁰ This consultant is usually an outside management consultant. Here are some of the reasons for taking this route:

1. The consultant can encourage the open discussion of group differences while stressing that these differences have value because they demonstrate a range of alternatives available to the organization for resolving conflict. In this way, the conflicting groups are less likely to define success in terms of whatever outcome they wanted initially.
2. The consultant can listen to understand rather than evaluate. The conflicting parties themselves often don't listen to one another; each is too busy trying to be understood or to evaluate the other group. By listening and understanding, the consultant can contribute to each party's understanding of the other's position. Also, the third party's listening example is often followed by the participants.
3. The consultant can clarify the nature of the issue in dispute; conflicting groups often depart from the original issue by chasing a tangential point or by transposing the issue. The more detached third party consultant can help groups understand the issue better by reigning in their focus.
4. The consultant can recognize and accept the feelings of the group members involved. Intergroup disagreements are often compounded by the irrational feelings they generate—feelings like fear, jealousy, anger, and anxiety. When a consultant says that he or she understands and accepts these feelings, he or she helps others to understand and accept them as well. This acceptance allows groups to move past their emotions and resolve their conflicts.
- 4.
5. The consultant can also suggest procedures for resolving differences. Facts, methods, goals, values, or issues will determine which specific techniques are appropriate.⁹¹

The material in this section isn't meant to be an exhaustive list of conflict management strategies. Instead, it offers a range of approaches that may be useful to the organizational leader. The adopted strategy depends in large measure on the situation; on the personality, style, and self-confidence of the organizational leader; and on the nature of the conflicting groups. Unfortunately, choosing a particular strategy isn't always a simple or straightforward process. The leader needs to examine goal orientation, time orientation, the tangible nature of work, frequency of interaction, physical separation, competition over scarce resources, and the ambiguity of the work assignment—a process that will help shed light on the variables at work in a particular conflict. Also, understanding the relationship of

⁹⁰ Walton, R.W., *Interpersonal Peacemaking. Confrontation and Third Party Consultation* (Reading, Mass: Addison-Wesley, 1969), p. 1. This entire book is extremely relevant to third party interventions.

⁹¹ Schmidt, W. and R. Tannenbaum, "The Management of Differences," *Harvard Business Review*, XXXVIII, (November-December, 1960), pp. 107-115.

the groups in conflict will help the leader choose the right intergroup conflict management strategy.

Case Study

You have recently been promoted to the rank of lieutenant and assigned as the evening watch commander in the downtown area. This evening, one of your patrol supervisors, SGT Harry Reese, approached you and said, "Lieutenant, we have a problem! It's been festering for a while now and it just blew up. One of my officers, Terry Kane, just had an argument with the evening watch detective supervisor, Franco Manelli, and a bunch of other guys joined in.

"Apparently, while SGT Manelli was out in the field, he left a follow-up report on his desk. When he got back, there was grease all over the report and some cheeseburger wrappers nearby. SGT Manelli started yelling at the patrol officers, calling them 'disrespectful heathens' and 'pigs'. Manelli shouted, 'Out, out of my squad room, right now and forever!'

"Then, Officer Kane told SGT Manelli that he had no right to be yelling at them, since he didn't even know who made the mess. I guess some headquarters staff officers and civilians, a few narcotics guys, and even a team of state troopers all used the room while Manelli was out. You know, it gets busy like this all the time. There is no room left in the patrol officers' Report Writing Room and everybody scrambles to find somewhere to write their reports.

"Well, after Kane spoke up, several other patrol officers told Manelli that they were tired of the detectives acting like they were better than everyone else. They complained that the detectives never let patrol officers know what happens to their arrests. One officer said, 'I know you detectives ask district attorneys to reject cases. You let bad guys back on the street, just because you're too lazy to do a decent follow-up.'

"This caused Manelli and two other detectives to get really hostile. They began saying things like, 'If you supercops would learn to put a few elements of the crime and some probable cause in your arrest reports, you might keep some bad guys in jail. While you're at it, a little information on the victims and witnesses, like maybe an address or phone number, couldn't hurt.' The detectives said that, from now on, if this basic information wasn't in the report they would simply get the case rejected.

"I asked both Officer Kane and SGT Manelli to join me in an interview room. Manelli marched in and made it clear that he's a detective sergeant who does not answer to a patrol sergeant. I assured him that I just wanted to work out a solution. Manelli said that this was not the first time patrol officers had made a mess of the squad room, and he feels they do it intentionally. I told him that I would meet with all the officers at roll call and tell them to keep the detectives' area clean.

"Manelli said, 'Not good enough, Blue Boy! I'm the Detective in charge of that squad room on evening watch, and I'm sticking to my guns! Like I said before, I want your officers out of there right now, and out of there forever.'

"Actually, the crowd at the station had thinned out by then, so I told Kane and the others to move into the officers' Report Writing Room. Then, I counseled Officer Kane about the way he spoke to a detective supervisor. Kane said he would try to control his mouth, but it didn't change the way he feels. 'These patrol officers have some justified complaints, sergeant.' Kane said that twice last week, when the day watch detectives released juveniles near 3 o'clock in the afternoon, they went to the watch commander and pressured him to have patrol units transport the subjects to juvenile hall or back to their

parents' house. He said the patrol officers are always getting stuck doing errands for the detectives, even when we're backed up on radio calls. After listening to him, I know that Kane has some valid points."

You tell Sergeant Reese that you'll look into the matter. You realize that your boss, Captain Donacare, isn't going to be much help. His biggest concern these days is planning his retirement. He's told you several times that the watch commanders are "getting lieutenant pay" and "should be able to work any problems out by themselves."

I. **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** the situation using Intergroup Conflict Management Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Which, if any, of the Common Sources of Intergroup Conflict are present?

Which, if any, of the Intergroup Conflict Resolution strategies are present?

III. **Explain** an Area of Interest in terms of the how the intergroup conflict affected the group's individual, group, and organizational outcomes.

How has the intergroup conflict affected the motivation, satisfaction, and/or performance of individual employees in each of the groups?

How has the intergroup conflict affected the group's structural dimensions and performance?

Has the performance of the organization been affected by this intergroup conflict? How?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. **Select** an appropriate theoretical leader strategy(ies) that would be effective in this situation.

Which leader strategy(ies) should the leader use to address the Areas of Interest in this situation?

LESSON 17: INTEGRATION II

Introduction

This lesson consists of:

1. Area II Overview
2. Case Study

Assignment

1. **Review** Lessons 1-17.
2. **Read Course Guide**, pages 113-Error! Bookmark not defined..
3. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using all applicable theories from the course to date.
 - III. **Explain** an Area of Interest in terms of the theory(ies) you selected in the step above. Discuss how the selected theory is affecting the individual, group, and organizational outcomes. In other words, use the selected theories to explain why individual motivation, performance, and satisfaction; group structural dimensions and performance; and organizational performance are affected.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretically correct leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.

AREA II OVERVIEW

In the last six lessons, we examined several elements of the Groups as Open Systems Model. To summarize, we accomplished the following:

1. Discovered the impact of various **Group Structural Dimensions** on the effectiveness of groups and individual group member satisfaction.
2. Became aware of the fact that groups typically progress through four predictable **Stages of Development** and that groups must resolve certain issues and needs in order to move to higher stages of development and effectiveness.
3. Looked at the **Socialization** process with an understanding that leaders must take an active role in teaching all people who are assuming new roles in the group the values, roles, and norms of the group and organization.
4. Looked more closely at the group structural dimension of **Cohesion** and how it affects the performance ability of individuals, groups, and organizations. Additionally, we explored potential leader actions that build, restore, and realign cohesion.
5. Gained an appreciation for some of the factors that can both enhance and limit the effectiveness of the **Group Decision-Making** process.
6. Recognized that **Intergroup Conflict** may detract from effective individual, group, and organizational performance. We also derived leader actions that resolve performance problems caused by dysfunctional intergroup conflict.

In this lesson, we will combine these concepts with those from the Individual System to solve problems in a complex police leadership situation.

Case Study

You are Northeast Area's new commander. You have learned that you will get six new probationary officers from the graduating class of the Police Academy. You knew this was a mixed blessing. Your area is currently down twelve officers and six new bodies would certainly help, but you had been led to believe that you would get at least ten. Naturally, these six rookies will work patrol with a training officer. However, your detective division has been asking you for a loan of six more tenured officers, and your community staff officer wants to fill two vacancies with personnel from your patrol area.

Rather than dictate how the officers should be assigned, you decided to let your commanding officers iron it out themselves. You did this with some trepidation, since you knew that there had been several run-ins in the past between detectives and patrol.

The previous area commander, who retired a month ago, had really pushed getting tough on crime. He pretty much let the patrol and detective commanding officers run their own shows, so long as they produced high quantities of arrests and criminal filings. One area where he pushed hard and that you agreed with was the orientation program for new employees. Each division was responsible for designing their own orientation program, and at first glance, it appeared that they had done a good job.

The Detective's Orientation Program consisted of a step-by-step explanation of follow-up report requirements, interview techniques for suspects, victims and witnesses; photo and live line-ups; and filing cases with the county and district attorneys. The Patrol Officers' orientation consisted mainly of a geographic overview of the area. Naturally, the watch commanders gave a briefing on the hot crime spots in the division to emphasize that new officers should be concerned about their arrest recap.

The amount of planning was evident in both these orientation programs. However, you are concerned that there is so little communication or cross training between the two groups. The detectives did not get briefed on the efforts of patrol, and vice-versa. Furthermore, you did not see any evidence of your community policing philosophy in either orientation program.

You called a meeting with your patrol and detective commanding officers and the district representative supervisor and told them about the six probationary officers. They all agreed these officers were needed badly, but it wasn't much help. Lieutenant Drummond, the patrol lieutenant, remarked, "Only six! That will help a little, but I'm still way down. I hope you aren't planning on loaning any of my people out. Crime in the Cameron Road neighborhood is skyrocketing, you want to put more emphasis on community policing, and we're still trying to put bad guys in jail on occasion. Patrol is going to need every one of those new people!"

Lieutenant Frazier, the detective lieutenant, said, "Well, I've got my problems too. I'm down three detectives. I have two of my guys in Basic Detective School and one in Supervisor School. I know you're aware of the backlog of cases that we have, especially in Crimes Against Persons. We have some assault cases with leads that are three months old that my detectives can't even look at yet. I've got my detectives working overtime and weekends to try to catch up, but the best we can do is to keep the backlog from getting worse. One of these days, the newspapers will do a story on the lack of service this Detective Division is providing to the citizens of the Northeast Area

and we'll all look stupid! This is ridiculous and we have to do something about it. The only solution is to give me some loanees to start working on the backlog.”

Lieutenant Drummond spoke up sharply, “It wouldn't matter if you loaned twenty officers to detectives, they've always complained that they are backlogged and they always will. Yet, they seem to have no problem sending their people to training. Because of our workload, I've cut way back on sending any patrol cops to school, even the POST-mandated stuff. The real solution here is to get detectives to work a full eight hours each day. If we cut down on their long lunches and shopping on duty the backlog would clear up in record time!”

Suddenly, you remembered how Sergeant Smiley, the community staff supervisor, had approached you before the meeting. He reminded you that the prostitution problem that was getting worse, then asked if he could fill the two district rep. vacancies from within the area. But here, in front of the lieutenant and the commander, he did not even bring up the subject.

Leaning back in your chair, you sigh. So much for letting them solve the problem themselves! You stand up, “We obviously aren't getting too far here. I concur with Lieutenant Frazier; he has a priority need for more personnel. Lieutenant Drummond, I need you to loan three officers to the detectives and fill one of the open district rep. spots. That will still give you a net increase of two more officers. No one will be completely happy, but all of you have worked with shortages before and I'm sure you'll do the best you can.”

Four days later, you overheard a detective complaining that the three patrol loanees to detectives were all light duty officers, one of whom could not carry a gun due to his psychological condition. You also heard that Lieutenant Drummond was talking about retiring, saying he couldn't work for an area commander who didn't support him and who made it impossible to get the job done.

Looking back at your meeting, you wished it had gone better. You had really wanted your patrol and detective CO's to work together, but they just couldn't get past their own narrow points of view. You didn't want to lose Lieutenant Drummond this way, but maybe his replacement would be a little more flexible and willing to cooperate with your community policing goals.

I. *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. *Analyze* the situation using all applicable theories from the course to date.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Consider each of the theories we have addressed in this program thus far. Which of these theories helps you to understand what is happening in this case study? There will be several theories. As you identify a theory, return to that lesson and consult the lesson objectives. Ensure that you include all of the important steps in your analysis by following the specific lesson objectives.

III. ***Explain*** an Area of Interest in terms of the theory(ies) you selected in the step above. Discuss how the selected theory is affecting the group's individual, group, and organizational outcomes. In other words, use the selected theories to explain why individual motivation, performance, and satisfaction; group structural dimensions and performance; and organizational performance are affected.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. ***Select*** an appropriate theoretical leader strategy(ies) that would be effective in this situation.

AREA III OVERVIEW

THE LEADERSHIP SYSTEM

- Lessons
18. Leadership as a Social Exchange—Bases of Power
 19. Vertical Dyad Linkage Theory
 20. Situational Leadership
 21. Transformational Leadership
 22. Stress & Stress Management
 23. Communications & Counseling Applications
 24. Integration III
 25. Assessing Your Leadership—Results of the Multi-Rater Feedback

AREA OVERVIEW

In the first two areas of the course, we worked toward a better understanding of individuals and groups. In addition to learning theories that explain why individuals or groups behave as they do and suggesting appropriate leader actions, we also learned the larger concept of how to use the model of an open system to understand how different factors influence individual, group, and even organizational outcomes.

We now add to our collection of knowledge and skills an area we can influence most—**The Leadership System**. Learning to be a more effective leader is, hopefully, the major reason you are attending this class and devoting the introspection and effort it requires. We will now begin to bring many of the pieces together.

The formal study of leadership began in earnest during the last half of the twentieth century. Initially, a leader's influence was thought to be solely attributable to specific traits of the leader him – or herself. Traits like physical appearance, height, intelligence, and several others were investigated in the hopes of finding the ideal combination that led to successful leaders and leadership. These trait theories dominated early research but were displaced by theories featuring combinations of variables. This approach, called a *transactional approach* to leadership, focuses on combining various leader traits and behaviors with follower characteristics and situational variables, thereby yielding a greater predictability of leader success or failure.

First, we will focus on the elusive but compelling concept of influence. We will explore the **Bases of Social Power** that a leader may have, and what a follower's likely reaction to them will be. The next two lessons build upon this concept by looking at slightly different ways of conceptualizing the interaction of a leader, his or her followers, and the situation.

We conclude the Leadership Theory portion of this area by exploring **Transformational Leadership**. This relatively new approach to leadership seeks to increase the intellectual and emotional commitment that employees invest in their work, thereby creating truly superior organizational performance. This theory is critical to your ability to

develop (transform) your followers into high performing employees and leaders in their own right.

Finally, we will explore a collection of leader competencies, or skills, that will enhance your ability to implement the theories you have diligently studied over the past couple of weeks. The concepts of stress, stress management, communications, and counseling will add to your abilities and round out our study of the internal components of the Model of Organizational Leadership.

LESSON 18: LEADERSHIP AS A SOCIAL EXCHANGE – BASES OF POWER

Introduction

This lesson consists of:

1. Leadership as an Exchange
2. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 3-24.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using the Bases of Social Power.
 - A. **Classify** the leader's bases of power.
 - B. **Classify** the group's reaction.
 - III. **Explain** how the leader-group exchange influences individual group member's performance, satisfaction, and motivation; group performance; and organizational mission accomplishment.
3. **Complete a Student Journal entry** for Social Exchange Theory.

Think about a work group to which you have belonged as a police officer and discuss EITHER **Option 1** or **Option 2**.

Option 1 – Looking at You as the Work Group Leader

Using the leadership position in the police work group you selected, what bases of power do (did) you have available for use with most of your employees? Which do (did) you use most often? How do (did) your employees react to this (these) base(s) of power? What is (was) the relationship between the bases of power you use(d) most frequently and individual satisfaction, motivation, and performance in your work group? What is (was) the relationship between your bases of power and the group's performance? Lastly, what is (was) the

relationship between your bases of power and your work group's ability to contribute to the organization's mission?

OR

Option 2 – Looking at Your Work Group Leader

If you selected a police work group where you are (were) a follower, what bases of power does (did) the group leader use with individuals in the group? Are (were) they the same for all members in the group? How does (did) the group react to the leader's bases of power? How does (did) the leader's use of his/her base(s) of power impact individual performance, motivation, and satisfaction; group performance; and the group's ability to contribute to the organization's mission?

LEADERSHIP AS AN EXCHANGE

Why does a leader have more problems with one follower than with another? Why do some individuals in an organization require more supervision and control than others? Some reasons such as individuality, motivation, and socialization have been discussed in previous lessons; however, it is also important to consider the quality and quantity of influence attempts between the leader and the follower. What then is an *influence attempt*? In its broadest sense, we can define influence as the ability of one individual to change the attitude or behavior of another. This usually involves an exchange of ideas, rewards, or punishments within a social context. Among the several concepts presented in this lesson, we will use **Social Exchange Theory** to explain interpersonal influence; it will provide the framework upon which subsequent ideas about leader influence are built.

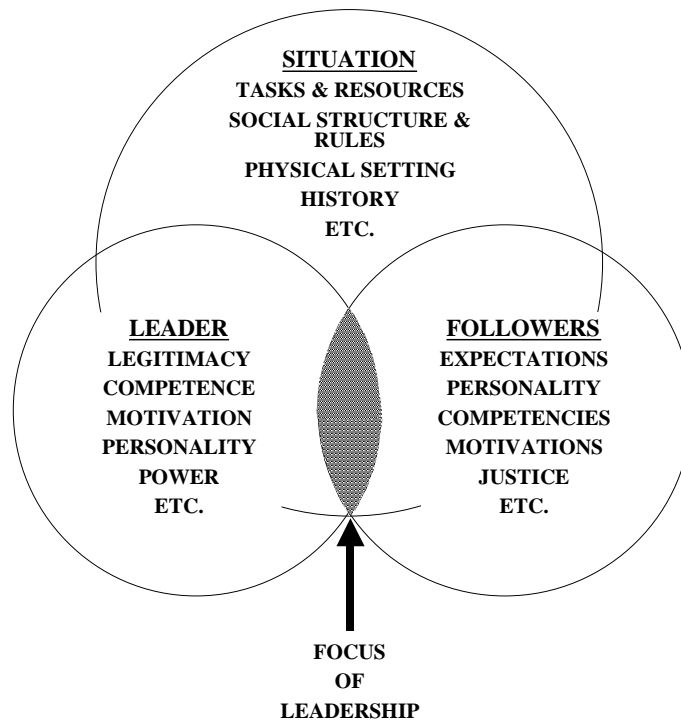
Before reviewing some specific ideas in Social Exchange Theory and their utility in explaining the leadership process, we will first look more closely at the fundamental leader-follower transaction.

Any leader influence attempt will involve the leader, one or more followers, and some situational context. Figure 25 is one way of portraying the relationship among these three elements. Edwin P. Hollander, the originator of this model, calls the shaded area in the diagram the locus of leadership. The arrows indicate the exchange process that occurs between the leader and the followers;¹ each contributes something and neither can really function without the other. Two points in the diagram need to be emphasized. One is that the leader-follower exchange relationship takes place within a situational framework. This means that the interaction between leader and follower is going to be affected by external forces. The other point is that leaders do not stand apart from their followers. Leaders are an integral part of the exchange process because of the nature of their role. There are numerous expectations of the leader role; it is in the fulfillment of these role requirements that leaders

¹ Hollander, E.P., *Leadership Dynamics: A Practical Guide to Effective Relationships* (New York: The Free Press, 1978), p. 8.

provide certain benefits to followers.² These benefits become an integral part of the social exchange process between leader and follower and are primarily determined by factors such as those listed under each of the three elements in Figure 25. Hollander outlines two essential elements for the transactional process: mutual trust and the perception of fairness and the necessity for the leader to reduce uncertainty created by the situation. It is important to remember that, as portrayed in the Model of Organizational Leadership, unless the leader is at the very top of an organization, he or she is in the position of being a leader in one group and simultaneously a follower within the larger organization. This dual role generates multiple transactions for the focal leader, which may greatly complicate the exchange process.

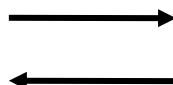
Figure 25. A Transactional View of Leadership



Social Exchange and Leadership

The leadership process must take into account the nature of the transaction that occurs between persons in the role of leader and follower. In a purely economic sense, the

² *Ibid.*, p. 10.



willingness of group members to accept the influence of a leader depends to a large extent on what the leader has to offer them:

(The) leader who fulfills expectations and achieves group goals provides rewards for others which are reciprocated in the form of status, esteem, and heightened influence. Because leadership embodies a two-way influence relationship, recipients of influence assertions may respond by asserting influence in return, that is, by making demands on the leader.³

What is the nature of this exchange? Clearly, some social exchange activities incur a cost while others are essentially cost-free. For example, complimenting someone for a job well done is basically cost-free—the giver loses nothing. However, asking someone to watch the telephone (voluntarily) while you take a coffee break has costs associated with it. For instance, the asker may feel obligated to give some favor in return at a later date. Thus, the social exchange process involves both receiving rewards and providing rewards to others.

Underlying the concept of social exchange is reinforcement. Recall from Motivation Through Consequences that reinforcement is usually defined as a specified consequence resulting from a specific behavior. Reinforcement is traditionally in the form of material items such as food, tokens, or money. In the leadership process, however, reinforcement includes social concepts as well. Approval, recognition, and liking all have reinforcing properties for social behavior. When a leader gives these to others, something in return may be expected. In essence, people try to maximize their rewards and minimize their costs in an exchange relationship. The resulting profits (rewards less costs) can be psychological as well as material. In fact, it may be argued that social exchange will not continue unless all the parties involved in the exchange are making a profit.⁴ One of the earliest researchers of social exchange put forth the following propositions about the effects of reinforcement on social exchange activities:^{5, 6}

1. The more often a person's activity is rewarded, the more likely it is that the person will perform the activity.
2. The more similar the present situation is to a past rewarding situation, the greater the likelihood that a person will engage in the same activity again.
3. The more valuable the reward associated with an activity, the more likely the person will perform the activity.
4. The more often in the recent past a person has received a particular reward, the less valuable any further unit of that reward becomes to that person.

³ Hollander, E.P. and J.W. Julian, "Contemporary Trends in the Analysis of Leadership Processes," *Psychological Bulletin*, (1969), 71, p. 390.

⁴ Homans, G.C., *Social Behavior: Its Elementary Forms* (New York: Harcourt, Brace, Jovanovich, 1974).

⁵ Homans, G.C., "Fundamental Social Processes," *Sociology*, 2nd Ed., ed. N. Smelser (New York: John Wiley & Sons, 1973), pp. 552-558.

⁶ Homans, G.C., *Social Behavior: Its Elementary Forms* (New York: Harcourt, Brace, Jovanovich, 1974), p. 75.

5. When a person's activity does not result in the expected reward or produces unexpected punishment, that person may become frustrated, resulting in aggressive behavior that can be rewarding.

This list of propositions clearly suggests that the leader-follower interaction and exchange is one of interdependence. Maintaining interdependent relationships requires both the availability of joint rewards and the trust that results from accurate and open communications and cooperation.⁷

However, social exchange may occur in a competitive as well as a cooperative climate. Since the quality of the exchange will be affected by the climate, it is important for the leader to understand the fundamental differences between cooperation and competition. These concepts have been studied in some detail through the use of social exchange games. **Game Theory** offers some unique insights into the nature of the exchange process. Basically, a game is a contest conducted under specified rules, in which the outcome is unknown in advance and depends upon the actions of the participants.⁸ A decision in a game involves choosing from among a number of alternatives that have a specified consequence. Further, the game usually involves a two-person process that can be either cooperative or competitive. The resolution of the game clearly calls for an exchange process between the two individuals if they are to maximize their benefits and neither can do that without giving something. The study of games, therefore, is particularly useful and interesting because of the similarity to the actual social exchange process between people.

Variations in Game Theory research have provided some general insights into the interdependent nature of the leader-follower exchange relationship. For example, it was found that persons who perceive trust in others were themselves trustworthy.⁹ Also, increased communication was found to facilitate cooperation and trust, except when players are suspicious of one another, in which case communication actually results in less cooperation. In another variation, it was found that people perform best when they are highly interdependent and when the rewards are perceived to be justly distributed among participants.¹⁰ As people make social comparisons of their effort and contribution against those of others who are important to them, they judge the fairness of the reward. This latter observation reinforces the notion that to be effective, the leader must distribute rewards equitably (not equally) among followers. (We saw this notion earlier when we discussed Equity Theory). Each of the findings, then, suggests to the leader ways of facilitating the exchange process between leader and followers as well as among followers.

⁷ Hollander, E.P., *Principles and Method of Social Psychology*, 2nd Ed. (New York: Oxnard University Press, 1971), p. 250.

⁸ Vinacke, W.E., "Variables in Experimental Games: Toward a Field Theory," *Psychological Bulletin*, (1969), 71, p. 293.

⁹ Loomis, J.L., "Communication: The Development of Trust and Cooperative Behavior," *Human Relations*, (1959), 12, pp. 305-315.

¹⁰ Deutsch, M., "Trust and Suspicion," *Journal of Conflict Resolution*, (1958), 2, pp. 265-279; Daniels, V., "Communication, Incentive, and Structural Variables in Interpersonal Exchange and Negotiation," *Journal of Experimental Social Psychology*, (1967), 3, pp. 47-74.

Idiosyncrasy Credits

The results of Game Theory and other social interaction research clearly show that face-to-face interactions lead to reciprocal behavior. Each person, in effect, creates outputs that can be rewarding for the other. A similar process occurs in leadership. The mutual expectations each has of the other sets up an informal contract that both parties see as binding. If an exchange produces no profit for either party, the leader-follower relationship is unlikely to continue satisfactorily. At a minimum, the relationship will become extremely strained. Even in moderately successful leader-follower relations, however, the leader normally provides the group members certain benefits that they cannot provide for themselves.¹¹

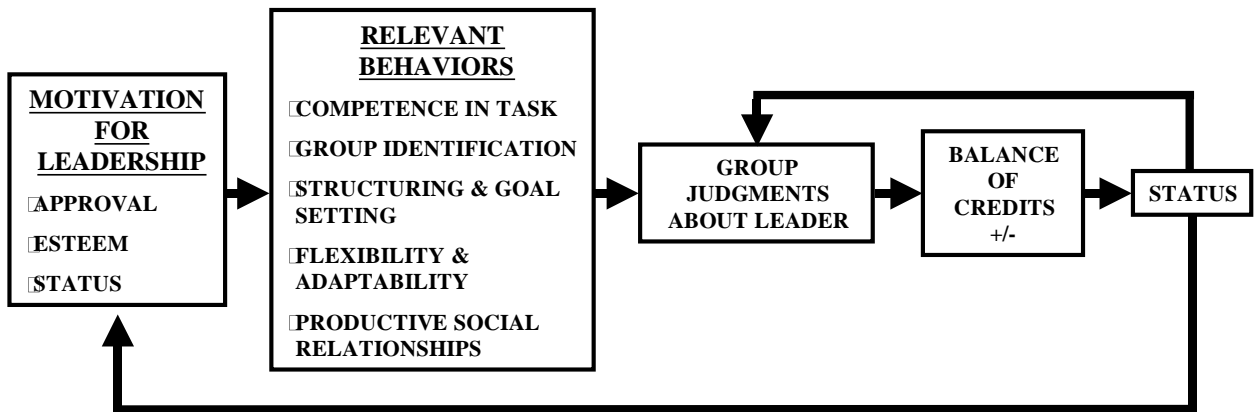
One way of looking at the exchange process is to examine what the leader has to offer to the group. One line of thinking suggests that in the normal course of group process, members accumulate credits with each other based on their contribution to the group goals. This approach postulates that a group member who has accumulated a large positive balance of credits through contribution of one type or another will be highly valued by others, have high status, and be generally free to vary from the group norm to a much greater extent than will a low credit member. Of course, group members may also receive negative credits for failure to meet group expectations. The balance accumulated by a person as a result of interaction with other group members is referred to as *Idiosyncrasy Credit*.¹²

According to Hollander, evaluations are always being made of the leader in terms of group members' expectations about goal accomplishment and the leader's compliance with those expectations, both in and out of the organizational environment. What this really implies is that an appointed organizational leader must eventually emerge as the psychologically accepted leader in order for the influence process to be maximally effective. Idiosyncrasy Credit Theory stresses competence as the primary means for obtaining positive credits. This competence may involve both technical (task) and social skills. To be psychologically accepted, the leader must be perceived as having an identification with the group as demonstrated by a loyalty to the needs of group members. In addition, the leader must provide the group with structure and goal-setting, be flexible and adapt to changing demands, and establish positive working relationships that result in a fair, stable, and dependable interpersonal climate. Figure 26 provides a graphic summary of the Idiosyncrasy Credit process as it pertains to the emergence of the organizationally appointed leader as one who is psychologically accepted by the group. As can be seen, the ultimate status of the leader depends on the balance of positive and negative idiosyncrasy credits conferred by the group.

¹¹ Hollander, E.P., *Leadership Dynamics: A Practical Guide to Effective Relationships* (New York: The Free Press, 1978), p. 71.

¹² Hollander, E.P., "Emergent Leadership and Social Influence," in *Leadership and Interpersonal Behavior*, eds. L. Petrullo and B.M. Bass (New York: Holt, Rinehart and Winston, Inc., ©1961). Reprinted by permission of CBS College Publishing.

Figure 26. Idiosyncrasy Credits and Leadership



Hollander cites three studies specifically designed to test Idiosyncrasy Credit Theory.¹³ One study demonstrated that high-competence people who violate group norms are tolerated more than low-competence people. Moreover, the violation has less impact on the person's influence if it occurs after the demonstrated competence. In other words, the person with high competence has more credits and therefore, can deviate more from group expectations than one with fewer credits. A second study showed that group members' acceptance of influence is related to the length of time the leader is in the group (the longer the time, the greater the acceptance). A third study tested the evaluation of nonconformity to group norms coupled with the amount of perceived idiosyncrasy credits. As predicted, deviation from group norms was not as serious when credits were high. Again, the leader can get away with more when he or she is perceived as competent.

These findings, along with those in Game Theory research, clearly support an idiosyncrasy credit view of how leadership status develops beyond the point of mere organizational appointment. They also emphasize the transactional nature of the leadership process. The strength of the appointed leader's position is determined to a large extent by the contribution the leader makes to the group's realization of goals and to the maintenance of the group's cohesiveness.

The desired end result of the leadership process is for the leader to successfully influence individuals to respond appropriately to his or her desires. Viewing leadership as an

¹³ Hollander, E.P., *Leaders, Groups, and Influence* (New York: Oxford University Press, 1964).

exchange or informal contract between leader and follower helps us to understand the dynamics of the process.

The Acquisition of Interpersonal Power

The exchange approach is useful in helping us analyze the reciprocal nature, or process, of the relationship between leader and follower. However, social exchange implies a relatively free-floating relationship between leader and follower, in which the transaction is permitted to take place and the mutual needs of the leader and follower can be satisfied. In an organizational context, this free exchange is seldom found, particularly in the early stages of the leadership relationship. What happens in an organization when the transaction between leader and follower has not developed into a mutually beneficial exchange? How does the leader cause the follower to respond appropriately—to get the job done?

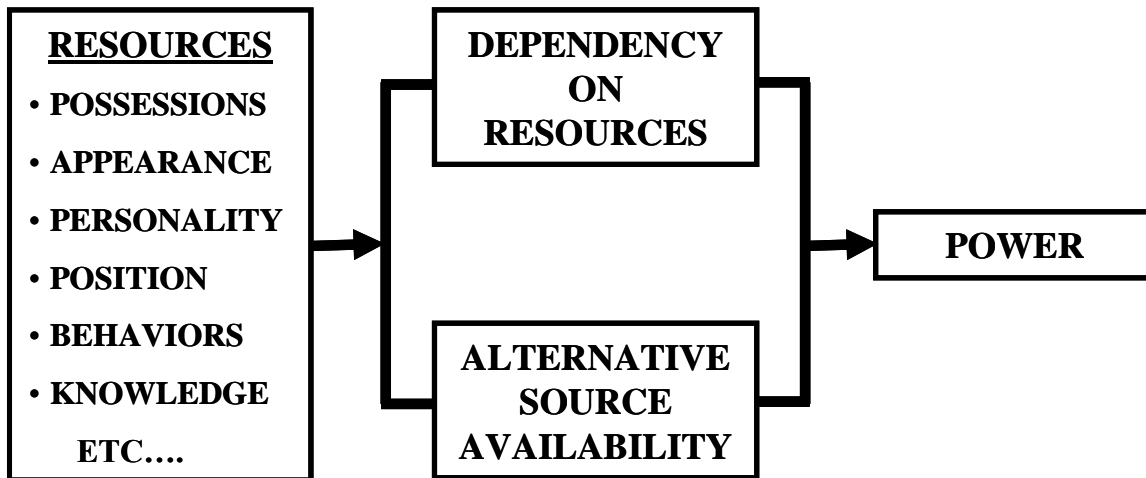
Some researchers have viewed the interpersonal influence process in terms of a power relationship between people—one person exercising control over another. Such analysis seems particularly appropriate in an organizational context. Keeping in mind that we defined influence as the ability of one individual to change the attitude or behavior of another, power may be thought of as potential influence—influence that is imminently available but not necessarily used. There are several sources of power from which the organizational leader can draw. Before we discuss these sources, we will look more closely at the nature of the power relationship.

Contrary to popular belief, power is not a one-way relationship. That is, for one person (A) to have power over another (B), person B must have a dependency on person A. In fact, if person B is not dependent upon person A, then a power relationship really cannot exist. Therefore, in determining the amount of power that a leader has over a follower, we must consider three interdependent properties of the power relationship. These are: resources available to the leader, dependencies of the follower, and alternatives available to the follower.

As shown in Figure 27, a *resource* is defined as the property of a person, such as a possession, an appearance or personality attribute, a position, a certain way of behaving that enables one individual to modify the rewards and costs experienced by another individual, knowledge, and the like. The value associated with these resources is primarily determined by how dependent the other person is on the resources. If the power source has something that the other person needs or can give a reward that the other person wants, a power relationship exists. In addition, this potential influence is mitigated by the alternative sources of reward available to the person of lesser power.¹⁴ In other words, power depends on how much the dependent person needs the resource and if it can be obtained elsewhere.

Figure 27. Properties that Determine the Degree of Power

¹⁴ Hollander, E.P., *Leadership Dynamics: A Practical Guide to Effective Relationships* (New York: The Free Press, 1978), pp. 84-87.



Another aspect of power that needs to be remembered is that in most cases the exercise of power involves cost to the power source. That is, the power source must lose something in terms of material resource, time, status, and so on, when power is expended. In fact, once expended, many sources of power may dissipate completely, leaving the power source without further potential influence. Power, therefore, may exist only as a potential in some cases.

J. R. P. French and Bertram H. Raven, two noted researchers in the field of power relationships, have identified six available sources of power: reward, coercive, expert, information, referent, and legitimate.¹⁵ Together, these have been labeled the Bases of Social Power. We will examine each of these bases more closely, emphasizing the means of acquisition for the leader and looking more closely at some of the sources of power available to the person in the follower role of a leadership relationship.

Reward and Coercive Power

From the discussion of Motivation Through Consequences, we know that organizationally, most available sources of power come from the leader's ability to reward and punish. A leader who offers a bonus for better performance or threatens a follower with disciplinary action for not doing required work has power over the follower to the extent that the follower desires to receive the rewards or avoid the punishment. So long as there is no alternative source for the reward and the punishment cannot be otherwise avoided, the follower will probably respond to the leader's influence attempt. Both *reward power* (the promise of reward) and *coercive power* (the threat of punishment), however, are highly dependent on the source of power. That is, in order to reward or punish (or threaten punishment), the influencing person must be aware of whether the other person has complied. Therefore, exercise of these sources of power can be of considerable cost to the leader. Reward observations are relatively easy for the leader to make since people are prone to make the influencing agent (power source) aware of their compliance. Coercive power, on the other hand, has more sinister effects. Observation becomes surveillance since the lesser power person will usually try to hide noncompliance. The influencing agent must be constantly

¹⁵ French, J.R.P. and B.H. Raven, "The Basis of Social Power," in *Studies in Social Power*, ed. D. Cartwright (Ann Arbor, Mich: University of Michigan Press, 1959).

present for compliance to result from coercive power. This may foster distrust and tend to break down the social exchange process.

A leader has available both personal and impersonal forms of rewards and punishments. Personal forms include approval, liking, acceptance, respect, and agreement. These are often more powerful than impersonal forms such as medals, trophies, and pay increases. Similarly, punishment can be classified as personal or impersonal. The leader's disapproval or anticipated lack of respect can have a powerful impact on the behavior of a follower, unless the follower has alternative sources for respect and approval. In addition, impersonal punishments such as withholding pay, confinement, and sometimes threat of physical force can serve as potent sources of power. The withholding of rewards can also be a powerful form of punishment. Some authors have suggested that reward and coercive power are not really different bases of power because the absence of an expected punishment is rewarding and withholding of an expected reward is punishing. However, as indicated above, their effect on the process of influencing others is uniquely different.¹⁶ At worst, the use of coercive power may cause the person to try to leave a situation completely or at a minimum, cause negative feelings toward both the person exercising the power and the situational context in which it is done.

Expert and Information Power

Very often, we accede to the influence attempts of others solely because we attribute some superior knowledge or information to them that is of value to us. For example, we may seek a lawyer to influence our decision about a will, a stockbroker for an investment, or a confidant about a personal problem. How often can we recall having gone to a lecture or presentation where great effort and time is taken in providing the personal background and expertise of the lecturer? This, of course, is not done for information only. Such information establishes the expertise and thus the speaker's credibility. In effect, it answers the question, "Why should I be sitting here listening to this person?" Imagine your reaction to a speaker if in the only introduction is "Good evening ladies and gentlemen, this is Mrs. John Dover. She is going to speak tonight about nuclear power."

In using *expert power*, the exchange between leader and follower focuses on providing expert information that will lead the follower to a correct course of action. Unlike reward and coercive power, expert power is not dependent on surveillance as long as the expertise is something needed by members of the group for successful performance. In exercising expert power, the leader must be cautious about negative expert influence. If people suspect that a leader is using superior knowledge to influence them in a way that only benefits the leader, they may resist the influence attempt. This boomerang effect was tested with groups of subjects who were given an article arguing that the existing steel shortage was due to labor union demands and not the steel industry. When the article was attributed to an author who was well-known for a pro-industry and anti-union position, subjects changed their opinion in the opposite direction of that which was advocated.¹⁷

A related but subtler source of power comes from the possession of critical information. The person who holds vital information has influence over others to the extent

¹⁶ Rave, B.H. and J.Z. Rubin, *Social Psychology: People in Groups* (New York: John Wiley & Sons, Inc., 1976, pp. 208-212.

¹⁷ Hovland, C.I. and W. Weiss, "The Influence of Source Credibility of Communication Effectiveness," *Public Opinion Quarterly*, (1952), 15, pp. 635-650.

that the information is needed. *Information power* may refer to a critical bit of information or a unique way of looking at the information. The possessor of information can exercise power merely through possessing the information required to solve a problem. Unlike expert power, which tends to be long lasting, information power is totally independent of the influencing agent. Once the information has been passed, the communicator loses his source of power (unless, of course, other desired bits of information are retained). As we will see later, information power is often used by lesser power persons to equalize power imbalances. Leaders may become dependent on persons subordinate to them merely because of the information they possess. The classic case of the irreplaceable secretary represents such a power base. The secretary's merely knowing the location of things can make the leader dependent upon that person.

Referent Power

To the degree that individuals are attracted to another person, they may model themselves after that person and thus be subject to influence by that person. Unlike reward and coercive power, referent power has no dependence on surveillance. In fact, an individual may be influenced by referent power even when the influencing agent is not aware of the influence. Referent power can also stem from a need for a person to use others as a basis for evaluating themselves and the world around them. The term referent evolves from the concept of reference groups: for example, peers, parents, teachers, movie stars, athletes, or others to whom we refer to evaluate our own beliefs and actions. Thus, to the extent that characteristics attributed to leaders who are liked are desired by group members, these leaders will have influence over the members' actions through referent power. Often, we hear people use the term "real leader" when referring to a particularly charismatic person. Usually, the power of this leader stems from a referent relationship.

Legitimate Power

Compliant relationships that are characterized by factors such as age, social class, legal designation, and recognized hierarchical position are a function of *legitimate power*. This power base spans the spectrum of social groups. Even in less formally organized groups such as the family, prescribed roles dictate the legitimacy of influence processes. In a traditional family, for instance, the father usually determines where the family will live, while the mother usually determines the arrangement of the home and what the family will eat.¹⁸

Influence through legitimate power has some interesting variations. It is clear that the power of police officers, corporation executives, and government officials, for example, stems in part from the legitimacy of the formal positions they occupy in their organizations. Other things being equal, individuals usually accept the orders of police officers on duty and supervisors of a work group without much question. However, the use of legitimate power is limited and only useful to a point. If not supplemented and eventually replaced with other bases of power, legitimate power may erode to a point where only coercive power will produce the desired compliance. That, of course, raises all the negative consequences already mentioned. Also, the continuation of follower behavior induced by legitimate power depends on the stability and strength of the underlying values and norms that gave the leader

¹⁸ Raven and Rubin, *op. cit.*, p. 217.

legitimacy. At the end of the American Civil War, for example, a number of Confederate officers attempted to continue to influence their unit members but to no avail. The legitimacy of their authority vanished as the Confederate government, army, and social system dissolved.

Social Power Combinations

As was mentioned earlier, the bases of power rarely function independently. In fact, an analysis of any influence attempt within an organizational context will usually reveal elements of all six bases of power. The same influence attempt in some cases may increase the functioning of one base of power while decreasing another. For example, use of reward to gain cooperation can result in an attraction to and liking for the influencing agent, thereby leading to a strengthening of referent power. On the other hand, a reward too frequently used may result in devaluation of the reward, along with a resulting loss in referent power for the influencing agent.

Referent power also interacts in a unique way with expert and legitimate power. A problem frequently encountered by organizational leaders is a conflict between referent power (based on identification and similarity) and legitimate and expert power (based largely on dissimilarity). A military officer is often concerned with how psychologically close he or she is to unit members. The leader is typically torn between a desire to develop good relationships and a fear of becoming too familiar, thereby undermining superiority and legitimate power. Therefore, those factors that work to increase referent power may simultaneously decrease the effectiveness of expertise and legitimacy.¹⁹ Although power, in the absolute sense, may remain constant, the combination of power bases may change, resulting in a change to the typical follower reactions to the leader's influence attempts.

Power of the Follower

If we return to the viewpoint that influence is a reciprocal venture and that both parties are engaged in a social exchange process designed to maximize rewards and minimize costs, it might be asked why one person is perceived as having more power than another. The answer lies in the fact that there may not be an equal exchange. For instance, a follower who works extra hard for a single pat on the back from a leader is not engaged in an equal exchange. As discussed previously, power is a function of the overall dependency of one individual on another. In the long run, however, this type of unbalanced situation inevitably leads to efforts to reduce the imbalance. For instance, as a follower begins to gain access to information or expertise required by the leader, the power imbalance between leader and follower changes greatly. Such is the case with the previously mentioned irreplaceable secretary. The perpetuation of the social exchange helps to check and balance the use of power so it is not abused. The abuse of power can easily occur in hierarchical organizations where legitimate and coercive power tends to dominate the influence process.

Yet another source of follower power may come through associations outside the work environment. Association of leader and follower through social clubs, sports, church, or other activities that may be on a less formal or even equal basis may be transferred intentionally or unintentionally by the follower to the work setting in order to offset a power imbalance.

¹⁹ *Ibid.*, p. 225.

The present influx of large numbers of women into the job environment has complicated the matter of power imbalance greatly for leaders of both sexes. An interesting exercise is to analyze the problem of fraternization in terms of the Bases of Social Power and the ability or inability of the leader to use available power resources in such situations.

Leader Assumptions and the Social Influence Process

A leader's perception of a particular follower can influence the subsequent performance of that follower. In a more general sense, it has been proposed that leaders develop assumptions about human nature that serve as the basis for how they treat people in general. Such assumptions, of course, become an integral part of the interpersonal influence process. Imagine for a moment that a leader believes that humans have an inherent tendency to avoid work and responsibility and therefore, need to be directed, guided, and even coerced to accomplish any task. Given this set of assumptions, how would you predict the leader would behave toward followers? What strategy would be used for influencing them to accomplish what needs to be done? It is clear that such a set of assumptions will have a large impact on the type of supervision and leadership that the leader exercises.

Douglas McGregor, a leading organizational theorist, has hypothesized that behind every leader decision or action lies a basic assumption about human nature and human behavior. He suggests that this assumption determines the extent and nature of transactions between leader and follower in an organizational setting.²⁰ He has labeled two of these possible assumptions **Theory X** and **Theory Y**. Together, they encompass a modern version of one of our oldest philosophical debates: "Are people inherently good or bad?" Although the analogy is not perfect, Theory X assumptions might be held by one who subscribes to the "bad" side of human nature, while Theory Y assumptions represent the good side of human nature. McGregor's concepts do not represent actual theories but rather, statements of underlying assumptions about human nature that drive the interpersonal actions of leaders, thereby affecting the nature and quality of the influence process. Figure 28 is a summary of some of the basic assumptions associated with Theory X and Theory Y. In deriving these assumptions, McGregor draws heavily on Maslow's work on the hierarchy of needs.²¹

Figure 28. Leader Assumptions of Human Nature

²⁰ McGregor, D., *The Human Side of Enterprise* (New York: McGraw-Hill Book Co., 1960).

²¹ Maslow, A.H., *Motivation and Personality* (New York: Harper & Row, 1970).

THEORY X ASSUMPTIONS

- **INHERENT DISLIKE OF WORK & RESPONSIBILITY**
- **WORK WILL BE AVOIDED**
- **PEOPLE MUST BE COERCED, DIRECTED**
- **EFFORT RESULTS FROM THREAT OF PUNISHMENT**
- **HUMANS PREFER TO BE DIRECTED**
- **PEOPLE WANT SECURITY ABOVE ALL**

THEORY Y ASSUMPTIONS

- **EXPENDING EFFORT IN WORK IS NATURAL**
- **PEOPLE ARE CAPABLE OF SELF DIRECTION**
- **HUMANS ACCEPT AND SEEK RESPONSIBILITY**
- **DISTRIBUTION OF INGENUITY & CREATIVITY IN THE WORK SETTING IS WIDE**
- **FULL POTENTIAL OF MAN IS ONLY PARTIALLY UTILIZED IN INDUSTRIAL LIFE**

A review of these two sets of assumptions suggests that a leader holding Theory X assumptions believes that people are responding to the lower order needs described by Maslow in his hierarchy of needs model (physiological and safety/security); whereas a leader who holds Theory Y assumptions believes that people are responding to the higher need levels (esteem and self-actualization). It is apparent that Theory X assumptions will lead to a style of leader influence that is primarily focused on directing and controlling. Under Theory X, coercive and legitimate power appear to be the most salient bases of power for the leader to influence behavior, while rewards are seen only as temporary influencers. From a motivation standpoint, people are considered to be waiting, needing beings, striving for satisfaction of their basic needs. To the extent that an organization and, more specifically, the organizational leader can assist in satisfying needs, people are willing to work and accomplish organizational goals. However, satisfied needs are not motivators of behavior. This is an important consideration, for if we briefly review the hierarchy of human needs, we recall that needs exist in relative levels of importance and that when one level is satisfied, behavior becomes oriented toward satisfying the next level. Unfortunately, because satisfied needs no longer motivate, as leaders continue exchanging rewards that are associated with already satisfied needs, followers will cease to be productive. As long as people are observed under conditions where they are deprived of basic needs (physiological and security needs), it is no surprise that a Theory X assumption appears to be reinforced. Also, the rewards typically provided for satisfying one's needs can only be used when the follower departs the work situation. For example, money is usually not spent at work. Thus, it is not surprising that work is often perceived by a follower as a form of punishment; it is the price to be paid in order to receive those things that will satisfy needs away from the job.²² Theory X assumptions appear to be validated again.

McGregor concludes that because the levels of basic human need have been largely satisfied in our society, a philosophy of leadership based on direction and control (Theory X)

²² McGregor, D., *op. cit.*, p. 40.

is no longer adequate for motivating people. That is, people are looking to satisfy higher needs and look for such satisfaction on as well as off the job. Put another way, McGregor suggests that although the exchange process is satisfactory, the medium of exchange no longer is. Therefore, an underlying philosophy of leadership that views humans as positive, creative, and striving beings whose needs can be satisfied on the job is needed.

McGregor's Theory Y captures the essence of those underlying assumptions by describing people as being in a continuous state of growth and development and as resources with enormous potential. The most significant difference from Theory X is that Theory Y places the limits of achievements not on people's basic nature but on the ability of leaders to fully develop the potential of their people through different methods of organization and control.²³

The basic principle of Theory Y is one of integrating the goals of the individual with the goals of the organization. When a follower is rewarded by the same things that the organizational leader finds rewarding, the exchange is mutually beneficial and therefore, the influence process is complete. In exchange for effort and performance, followers seek an opportunity for recognition, growth, and self-fulfillment in the work environment. The form of influence does not stem from authority or coercion but from helping to achieve the integration of individual and organizational needs.

Suffice it to conclude at this time that a leader's basic assumptions about people directly influence the interpersonal influence process between leader and follower. Keep this concept in mind as we explore other leadership experiences.

Outcomes of Leader Influence Attempts

There are four possible outcomes of a leader's influence attempts: resistance, compliance, identification, and internalization. Each is discussed in detail below.

1. *Resistance* is the refusal or reluctance of a follower to carry through with a leader's request. Resistance occurs when a follower actively avoids complying with the attempted influence. This may take subtle forms such as refusing to enforce an organizational policy or looking the other way.

A leader's over reliance on coercive power alone may lead to resistance if followers feel they are being treated unfairly or abused. Clearly, overt resistance is a difficult and quite risky approach for any officer to take, even when the leader is despised. However, followers can usually find ways to rebel in a way that satisfy their needs to resist without making themselves the object of their leader's coercive power.

2. *Compliance* is the acceptance of the leader's influence and a corresponding change in behavior; no attitude change is necessary. Compliance involves accepting the leader's influence in order to receive social and material rewards or to avoid social and material punishment. Since the source of influence retains control over the rewards and punishment, we may show public acquiescence without private commitment to the influence.

²³ *Ibid.*, p. 49.

Compliance is the most likely follower reaction to a leader who relies on reward, coercive, or legitimate power. Officers will do what they are told, probably believing that they are acting in their best interests to do so. Likewise, leaders who rely on their legitimate power to influence followers might expect the followers to comply because position or rank in itself entitles a leader to be obeyed. However, it is less likely that the followers will attempt to do the right thing without being specifically told to do so. The quality of the officer's work may reflect the minimum effort needed to satisfy the leader. Furthermore, use of these bases of power requires that the leader supervise the followers. They are less likely to do what is expected of them when they believe that they will not be held accountable for their efforts (or lack thereof).

Coercive, reward, and legitimate power are sometimes classified as position power, since they normally accompany a leader's position without regard for any particular attributes of the leader actually filling that position. Referent and expert power, on the other hand, are derivative of the way in which the followers see a particular leader--irrespective of the position that leader holds. Followers' reactions to these forms of personal power appear to be significantly different from their reactions to position power.

3. Identification is the acceptance of influence because the source is an attractive, likable source, worthy of emulation. Our attitude change may essentially resemble imitation because we wish to be like the source (which may be the group leader or other members of the group). When the attractive source is gone, we may revert to our original attitude because a lasting change had not really occurred.

Officers are more likely to identify with leaders who depend upon referent power to influence their followers. For example, you might hear officers boasting that they would follow their sergeant anywhere; they emulate her and have great trust in and respect for her. They may not know or care about the importance of realistic training, but they might work hard at the training because the sergeant tells them to. When that sergeant is reassigned, these officers might not retain their commitment to doing this same training well. Like compliance, the process of identification may be unstable (since it is dependent upon the object of identification). However, the followers will try hard to please the leader, and unlike compliance, the officers are more likely to carry on with the mission even in the absence of supervision.

If followers perceive a leader to have expert power, they will trust that leader's judgment and competence and accept the influence completely. It is not even necessary for followers to understand or agree with the leader's instructions. The followers believe that the leader knows what he or she is doing and that whatever the leader says must be for a good reason. Thus, identification also results from expert power.

4. Internalization is the acceptance of influence and consequent attitude change due to the intrinsically rewarding nature of the influence attempt. We may integrate ideas or values from a trusted, sound source because we see the wisdom of the influence attempt. The new attitude is durable and deeply rooted because it becomes our own. For example, a young woman is prejudiced against a certain race and routinely

displays behavior reflecting this prejudice, despite her older brother's insistence that she cease this behavior. This is resistance.

Upon joining the police department, this same young woman (now officer) learns to keep her prejudices to herself to avoid getting in trouble. She changes her outward behavior but still harbors prejudices. This is an example of compliance.

Eventually, this police officer watches her sergeant and sees that he is not prejudiced. She respects and admires this supervisor and begins to imitate his behavior. She may still harbor some prejudice, but now she changes her behavior because of the example set by the sergeant. This is an example of identification.

Finally, the sergeant assigns this police officer to a unit that causes her to interact regularly with people of the race against whom she is prejudiced. She discovers that her prejudice is completely unfounded. Not only does her behavior remain changed, but an attitude change accompanies it as well. This is internalization.

Throughout this reading, an effort has been made to predict likely follower reactions. It is, however, always difficult to be completely confident of predictions about how the human mind will work. For example, psychological researchers have documented a somewhat counterintuitive human phenomenon known as self-perception or cognitive dissonance; it seems that under certain conditions our behaviors may influence our attitudes. For instance, if we voluntarily participate in a harsh, demanding initiation to a group (based primarily on coercive power), we may have trouble reconciling our behavior (I volunteered to go through this) with our attitudes (I really hate doing this). In order to resolve this illogical discrepancy between what we think and what we do, we may find it easier to change our attitude to make it compatible with our behavior. Hence, even though coercive power is applied, we convince ourselves that we are allowing ourselves to be abused because that is the best thing to do. Eventually, we may internalize the belief that a coercive leader is doing what's best for us.

This lesson points out that whether followers accept influence and whether that acceptance is permanent, depends on the kind of power relationship existing between the leader and the follower. A leader first needs to determine what outcome of influence is desired, and then use the appropriate base of power to achieve that outcome. Figure 29, below, summarizes likely responses when each of the bases of power is used.

Figure 29. Outcomes of Influence Attempts²⁴

Base of Power	<i>Likely Outcome of Influence Attempts</i>			
	Internalization	Identification	Compliance	Resistance
Referent	Likely* If request is believed to be important to leader and follower	Likely* If request is believed to be important to leader	Possible If request is perceived to be unimportant to leader	Possible If request is for something that will bring harm to the leader

²⁴ This table is adapted from Yukl (1989), *Leadership in Organizations*, Prentice-Hall: Englewood Cliffs, NJ, pg. 44.

Base of Power	Likely Outcome of Influence Attempts			
	Internalization	Identification	Compliance	Resistance
Expert	Likely* If wisdom and positive outcome of leader's actions is acknowledged	Likely* If request is persuasive and followers share leader's task goals	Possible If request is persuasive but followers are apathetic about task goals	Possible If leader is arrogant and insulting or followers oppose task goals
Legitimate	Unlikely	Possible If request is polite and very appropriate	Likely* If request or order is seen as legitimate and appropriate	Possible If arrogant demands are made or request does not appear proper
Reward	Unlikely	Possible If used in a subtle, very personal way	Likely* If used in an impersonal, non-manipulative manner	Possible If perceived by followers as manipulative or presented in arrogant manner
Coercive	Very Unlikely	Unlikely	Likely* If used in a non-punitive way or if continued open resistance causes harm to self or peers	Likely* If leader is perceived as hostile or manipulative or need for coercion not acknowledged

* Indicates most common outcomes.

You should also understand the difference between bases of power and influence tactics. *Power*, or the potential to influence, differs from *influence tactics*, or politics, which is defined as the actual methods used by an agent to change the attitudes, opinions, or behaviors of a targeted person. There are several strategies that can be used, by both the leader and the follower, while influencing individuals in organizations. Figure 30 summarizes some potential influence tactics.

It is also important to note the research on politics in organizations. Besides the obvious ethical implications of some of these tactics, research supports that people who engage in such activities are relatively successful with promotion, but they are less effective in terms of follower satisfaction, commitment, and performance. These findings should be considered when determining which, if any, tactics to use in your influence attempts.

Figure 30. Influence Tactics Derived from Research²⁵

²⁵ This table is adapted from Luthans (1998), *Organizational Behavior* (8th ed.), Irwin/McGraw-Hill: New York, NY, pg. 370.

Tactics	Description
Pressure Tactics	Using demands, threats, or intimidation to convince someone to comply with a request or to support a proposal.
Upward Appeals	Persuading someone that the request is approved by higher management or appealing to higher management for assistance in gaining compliance with the request.
Exchange Tactics	Making explicit or implicit promises that you will give rewards or tangible benefits for compliance with a request or support of a proposal or reminding people of a prior favor to be reciprocated.
Coalition Tactics	Seeking the aid of others to help you persuade others to do something or using the support of others as an argument for someone else to agree.
Ingratiating Tactics	Seeking to get someone in a good mood or to think favorably of the influence agent before asking him or her to do something.
Rational Persuasion	Using logical arguments and factual evidence to persuade someone that a proposal or request is viable and likely to result in the attainment of task objectives.
Inspirational Appeals	Making an emotional request or proposal that arouses enthusiasm by appealing to a person's values and ideals or by increasing your confidence that they can do it.
Consultation Tactics	Seeking participation in making a decision or planning how to implement a proposed policy, strategy, or change.

Summary

This brief review of some of the major concepts underlying the interpersonal influence process has not been exhaustive, but it has provided a basic understanding of the interpersonal, transactional nature of the leadership process that goes beyond the leader's appointed position.

As we have shown in this reading, leadership may be seen as an influence relationship among persons who are interdependently trying to achieve goals. It involves a social exchange with the leader and followers trading mutually rewarding benefits. Ultimately, each tries to maximize benefits and minimize personal costs. The specific things traded are couched in the general resources that the leader provides in terms of information, task direction, reduction of ambiguity, interpersonal interactions that are fair and supportive, and other expectations that followers may have. In return, group members provide the leader with status, recognition, and esteem through their performance and their acquiescence.

Whether this exchange is essentially cooperative or conflictive depends in large extent on the leader's assumptions about followers. If the assumption is that followers inherently dislike work (Theory X), relations are necessarily maintained on a coercive, manipulating, legitimate power basis. If assumptions are that work is a natural extension of human life (Theory Y), then more supportive power relations (expert, referent, or reward) take on a greater significance.

In essence, the group must perform if the appointed leader is to be successful. The group's satisfactory completion of tasks, which is greatly enhanced by stable social relationships between leader and followers, and the leader's contributions--or lack of contributions--are perhaps the major catalysts in the effective functioning of the organizational system. In order to influence the group, the leader is involved in a continuous and dynamic exchange process that ensures that followers' needs are communicated and ultimately satisfied as a result of the mutually beneficial transaction.

In this reading we have considered only the influence process as it pertains to followers. The Model of Organizational Leadership, however, reminds us that the exchange process for leaders occurs in several directions simultaneously: between them and their followers, between them and their peers, and between them and their leaders. Researchers have found that the amount of influence supervisors feel they have with their own leaders moderates the relationship between supervisor behavior and the attitudes and morale of followers.²⁶ To be effective, therefore, a leader must have sufficient influence with his or her leader to be able to impact decisions affecting the leader's work group. In other words, followers expect their leaders to exercise influence upwards and to a lesser extent laterally. When a leader fails to do so, the group members may perceive that the leader is unable to engage in a fair exchange, resulting in a loss for the work group. All things pertaining to the follower in the exchange relationships discussed in this lesson, therefore, apply equally to the leader's role as follower. These multifaceted exchanges keep the influence process dynamic and have a large part in the effectiveness of the individual work groups. In summary, the leader must be both an effective supervisor and a skilled follower.

²⁶ Pelz, D.C., "Influence: A Key to Effective Leadership in the First-Line Supervisor," *Personnel*, (1952), pp. 3-11.

Name: _____

Complete a Student Journal entry for Social Exchange Theory.

Think about a work group to which you have belonged as a police officer and discuss **EITHER Option 1 or Option 2**.

Option 1 – Looking at You as the Work Group Leader

Using the leadership position in the police work group you selected, what bases of power do (did) you have available for use with most of your employees? Which do (did) you use most often? How do (did) your employees react to this (these) base(s) of power? What is (was) the relationship between the bases of power you use(d) most frequently and individual satisfaction, motivation, and performance in your work group? What is (was) the relationship between your bases of power and the group’s performance? Lastly, what is (was) the relationship between your bases of power and your work group’s ability to contribute to the organization’s mission?

OR

Option 2 – Looking at Your Work Group Leader

If you selected a police work group where you are (were) a follower, what bases of power does (did) the group leader use with individuals in the group? Are (were) they the same for all members in the group? How does (did) the group react to the leader’s bases of power? How does (did) the leader’s use of his/her base(s) of power impact individual performance, motivation, and satisfaction; group performance; and the group’s ability to contribute to the organization’s mission?

LESSON 19: VERTICAL DYAD LINKAGE THEORY

Introduction

This lesson consists of:

1. Vertical Dyad Linkage Theory
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 25-38.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Vertical Dyad Linkage Theory.
 - A. **Identify** the followers in this situation with whom the leader has either In-Group or Out-Group relationships.
 - B. **Identify** the Common Indicators of an In-Group Relationship for each member in this leader's Out-Group.
 - III. **Explain** an Area of Interest in terms of how the leader's Out-Group assignment of followers influences individual work group member's performance, motivation, and satisfaction. Likewise, **explain** the impact of the leader's groupings on group and organizational performance.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
3. **Complete a Student Journal entry** for Vertical Dyad Linkage.

From your professional life, describe a work group to which you belong(ed) where the leader had In- and Out-Group relationships with individual group members. Which category were you in? What Common Indicators of an In-Group Relationship were present (or absent) in your relationship (depending on which category you were in)? With the other category (the one you were not part of), what Common Indicators of an In-Group Relationship were present (or absent)? With the Out-Group, what was the impact on individual group member's performance, motivation, and satisfaction? What was the impact of the Out-Group on group performance and the group's ability to contribute to the organization's goal? What could the leader have done to improve the In/Out-Group situation and thereby enhance individual, group, and organizational outcomes?

VERTICAL DYAD LINKAGE THEORY

Vertical Dyad Linkage Theory (VDL) is one of the simplest concepts in this course. This approach to leadership deals with a leader's tendency to treat individual followers differently: some followers will become more trusted and closer to the leader while others are relegated to a more distant and less influential position in the group. These two types of relationships (or linkages) with followers are referred to as the *In-Group* and the *Out-Group* respectively. Whether this phenomenon is intentional or not, it creates one or more privileged followers that subsequently influence all follower, group, and organizational outcomes.

Indicators of an In-Group Relationship

It is intuitive that a district commander will not treat each of her lieutenants in exactly the same way. Some lieutenants are quickly accepted, for any of a number of reasons, as more trusted or reliable and are accorded different privileges or powers by the leader. Other lieutenants are treated more routinely and are looked at by the leader as just part of the work group. Equity Theory would lead us to predict that in general, this different treatment will lead to potentially dysfunctional behavior with Out-Group followers. The key then, is for the leader to understand the VDL phenomenon and work to build as many In-Group relationships as possible. The first step to mastering VDL and using it to enhance individual, group, and organizational outcomes is to explore the six Common Indicators of an In-Group Relationship.

The first indicator is a higher degree of communication with an In-Group follower. In our last lesson, we learned that a leader can use information to build a greater information base and perhaps expert power. The tendency, according to VDL theory, is to communicate more or selected information to In-Group members while leaving an Out-Group person relatively uninformed. An example of this selected information might be an early warning of an upcoming inspection. Alternately, the only information presented to an Out-Group follower would be what was required by the formal authority relationship with the leader, such as changes to the training plan or already decided upon personnel actions.

The second indicator is influence in decisions. Both Hackman's Job Redesign Model and the Normative Models of Decision Making prescribe that under certain conditions, a leader should include group members in the decision making process. VDL literature has shown, however, that a leader will discuss key decisions with an In-Group follower and ask for his or her input, while an Out-Group follower is rarely included in the decision making process. Therefore, our district commander may ask her In-Group lieutenants if they think she should volunteer their officers for a detail to guard the vice president during his next visit, but she wouldn't solicit the input from an Out-Group follower.

The third is priority of task assignment. An In-Group follower tends to be assigned valued tasks such as career enhancing, high visibility assignments while an Out-Group follower would tend to be assigned less attractive tasks. For example, an emergency communications center chief may be more inclined to give one of his In-Group shift leaders the responsibility of escorting the city manager around the ECC (if that was thought to be a valued task). The fourth indicator is job latitude. Whereas an Out-Group follower may be required to gain leader approval at short intervals on job related tasks, an In-Group follower would be granted much more freedom on assigned tasks. A leader who provides job latitude to an In-Group follower may just provide the follower with a final goal and then allow the follower to accomplish the goal in any manner he or she might desire. The Out-Group follower, however, might be given a final goal but be told to report to the leader frequently to update him or her on the accomplishment of sub-goals associated with the final task. The leader might even provide step-by-step instructions to an Out-Group follower.

Support is the next indicator and is the degree to which a leader stands behind the activities of others. A leader would be much more likely to go to bat for an In-Group member as opposed to an Out-Group member. An example of support is a captain who praises an In-Group lieutenant to the chief for a creative training event or defending the same lieutenant in the case of inappropriate behavior. A result of this support might be that in the future, an In-Group follower would be much more likely to tackle a difficult mission because the leader would back him or her up if difficulty is experienced.

The final indicator is attention or the amount of mentor-type activities (e.g., career advice, assistance in obtaining desirable jobs) that the leader provides to the follower. In-Group members tend to have a mentor-protégé relationship with the leader as opposed to Out-Group members, whose relationships rest on the formal authority structure of the organization.

Take a moment to think back to groups or teams to which you have been a member. Can you identify the In- and Out-Group relationships of that particular leader?

Vertical Dyads Formation

Now that we understand a bit more about what these relationships look like, how are they created? In a word, quickly. First impressions usually predict whether followers will be treated as an In- or Out-Group follower. Research has shown that these relationships develop very rapidly and remain stable long after they have formed. Both the leader and the follower have a tendency to make or reject an emotional connection to the other. Both parties then live with that relationship for quite some time unless a significant intervening event changes their minds.

More formally, research has identified a three-stage process by which the In- or Out-Group dyads take shape: the initial or sampling phase, the bargaining phase, and the commitment phase. The existence of these phases provides valuable insight for the leadership student because it provides knowledge about the process and allows for the opportunity to influence the formation of dyad relationships constructively. The more In-Group relationships and the fewer the Out-Group relationships there are between a leader and his or her followers, the more effective the leader's performance.

Problems with Out-Group Assignment

Ideally, all group members are treated as In-Group members. This assertion is based on several premises. One is that since two-way communication is limited between an Out-Group follower and the leader, not only may the leader fail to provide important information, but also the leader may not receive important information, thus decreasing group or organizational performance. Additionally, since an Out-Group follower lacks influence in leader decisions and leaders tend to assign individuals like themselves to their In-Group, leaders may often make decisions without receiving contrasting opinions that might only be provided by an Out-Group follower. This could decrease the creativity and range of possible solutions to problems generated by the work group.

Another reason for minimizing Out-Group membership is that leaders tend to assign valued tasks to In-Group followers. Consequently, if an Out-Group member happens to be the most capable individual to complete the valued task, not only would his or her skill be wasted, but the less competent In-Group member will probably hinder work group or organizational performance as well. Similarly, the leader may also assign less-valued tasks to an Out-Group follower in instances when an In-Group member might be the most qualified individual to complete the less desirable task.

A leader can face two additional problems if a significant number of Out-Group followers exist. First, by providing things such as valued tasks and influence in decisions to In-Group members, leaders may create a sense of inequity for Out-Group members. As an example, research in this area has clearly shown that Out-Group members receive lower efficiency reports than In-Group members. This inequity could easily effect the motivation of Out-Group members. A second problem relates to the cohesion of the work group. The differences in the way a leader treats In- and Out-Group followers could easily cause animosity between the two groups and damage group cohesion.

It is important to recognize that there is a downside to In-Group relationships. In our busy world, we categorize people quickly, and it is difficult to change categorizations of people due to our subsequent bias towards information that confirms the initial classification. Even though we have placed someone in the In-Group, it does not mean that a person's contributions to the leader-follower dyad will always be positive. The relationship may become dysfunctional over time if the leader fails to re-evaluate the contribution that person is making. Our In- and Out-Group boundaries should not be permanent. We should be willing to constantly re-assess these relationships and make adjustments in our behavior as warranted, always trying to maximize the positive contributions from all our followers. How do we go about this process?

VDL Leader Strategies

The time constraints placed on leaders inhibit a leader's ability to create an In-Group relationship with all followers. However, since the number of In-Group relationships is related to leader effectiveness, a leader who wishes to optimize group performance needs to look at how the six Common Indicators apply to a specific Out-Group member. The leader should then formulate a plan to increase job latitude, personal attention, and other indicators for the Out-Group member.

The most direct means to reassign followers from an Out-Group to an In-Group status is the conscious application of the six Common Indicators of an In-Group Relationship to an Out-Group follower. Unfortunately, while this approach is very straightforward, it overlooks other options that may address and resolve wider or systemic problems in the work group.

As you read the above discussion, you hopefully saw links to other theories we studied in earlier areas. The notions of unfairness, rewards and punishments, and job autonomy were discussed in Area I, The Individual System. In the process of learning Equity, Motivation through Consequences, and Job Redesign Theory, we saw similar relationships. Each of those theories suggested leader actions that are very applicable here. Likewise, Socialization Theory from Area II might provide a framework for analyzing and resolving a dysfunctional In-Group/Out-Group situation through periodic training. Last, you may have seen VDL as a practical application of the Bases of Social Power from our last lesson. Apply what you learned there to this situation. Vertical Dyad Linkage Theory is an intuitive, simple concept. Yet it provides a powerful means to analyze work group dynamics and performance while influencing followers to achieve their best.

Case Study

Upon promotion to lieutenant, you are put in charge of day watch in Southwest Area. You spend your first few weeks observing and getting to know your personnel, especially your five sergeants. You already know Sergeant Yuri Yorg, who lives in the same housing tract as you. He runs a part-time construction business, specializing in additions and renovations. He put a deck on your house last year for almost \$600 less than the next lowest quote you received. You wonder if he would be interested in carpooling to work. You know that Yorg is a recovering alcoholic who came close to getting fired after showing up drunk at a show-up almost ten years ago. He entered a rehabilitation program and has stayed sober ever since. You consider him to be a good cop and a hard worker.

Sergeant Rico Ortiz is recently divorced; he works a fair amount of overtime and off-duty jobs. His watch performs well; yet Ortiz often appears to be preoccupied. Some time ago you learned that his wife abandoned him and their two small children last summer. Things have not been easy for Ortiz, but he remains strongly committed to both his kids and the job. You are impressed by his character and dedication and therefore, felt comfortable a few days ago when he asked you to “stick your neck out for him” over a personnel complaint he had investigated. Because of his apparent competence and his loyalty, you often find yourself bouncing ideas off Rico Ortiz and seeking his advice.

Sergeant Gail Harris is a young, somewhat inexperienced, by-the-book supervisor. She often says, “That’s the only way to be on this job” and suggests that the other sergeants would be wise to follow her lead. Harris is distant and aloof. Most of the division refers to her as “Robo Cop.” You find it easier to keep your conversations with her to a minimum.

Sergeant Gary Babb is older than the other sergeants. He’s never taken the Lieutenant’s Exam and says he’s happy just being a street sergeant. Babb’s greatest talent appears to be telling jokes and stories. He’s a likable guy, but you wonder how he ever got promoted to Sergeant. It certainly wasn’t for his leadership skills. When you give out administrative projects, you have already discovered that you have to provide much more guidance to Sergeant Babb than you do with the other sergeants. Your instructions to Babb typically need to be simple and direct. Recently, your commander questioned you about Babb’s failure to check the minimum staffing before giving out discretionary days off. You just shrugged your shoulders and said, “That’s Babb!” You were finished sticking up for Babb.

Sergeant Mary Munro has been a member of the department’s championship pistol team for the last four years. As an avid shooter yourself, you are impressed by her shooting skills. You enjoy discussing weapons and firing techniques with Munro; you often spend free moments just chatting with her about guns. Mary Munro is widely respected by her peers.

The next Monday morning, after your first weekend off in a couple of months, Sergeant Ortiz is in your office with a troubled look on his face. He tells you of an incident that happened over the weekend at a detective’s retirement party. One of Rico’s own officers, SPO Steve Johnson, got drunk and began arguing with other Southwest officers. As things heated up, Johnson started pushing and shoving his co-workers and had to be subdued and taken home. Sergeant Ortiz says that Officer Johnson’s drinking is a problem and is affecting his performance. Ortiz also tells you that after this weekend’s incident, Johnson has

submitted a request to change watch. Sergeant Ortiz admits that he doesn't know how to handle a situation like this, and it's really causing serious problems on the watch. He asks you to approve Johnson's change of watch request. You tell him that you will decide the matter by end-of-watch tonight.

You seek out Sergeant Yuri Yorg to talk to him about Officer Johnson. Yorg is already aware of Saturday's confrontation and Johnson's alcohol problem. You mention Johnson's request for a watch change. You tell Yorg that you are thinking of denying the request and instead putting Johnson with a new supervisor. Sergeant Yorg jumps up from his chair and says, "Please don't give Johnson to me; I've got enough problems to deal with now! Give him to Robo Cop; let her deal with him. Besides, Officer Ted Waldron would really like to get off of her watch anyway, so you could swap Waldron for Johnson and kill two birds with one stone."

You also discuss this matter with Sergeant Munro and ask for her input. Munro tells you that she has no problem with Sergeant Yorg's suggestion but adds that she doesn't want Officer Johnson on her watch either.

After Munro leaves, you call in Sergeant Gail "Robo Cop" Harris and notify her that you are taking Officer Waldron off her squad and replacing him with Officer Steve Johnson. You tell Harris that Officer Johnson probably has a drinking problem and a personnel complaint coming down. You give Sgt. Harris a personnel complaint exemplar and a detailed set of instructions on how to deal with substance abuse complaints. You order her to report back to you on this matter at least twice per week until the matter is resolved. Sergeant Harris protests your decision, saying that a more tenured supervisor like Yuri Yorg, who has some experience dealing with alcohol issues, should deal with Johnson's alcohol problem. You tell her that your decision is final and that this is a good developmental opportunity for her. Harris hands you back your exemplar, saying she already has one in her I.A. file.

One month later, you check the recap and learn that observation arrests and officer-initiated activities have declined throughout Sgt. Harris' entire watch. Also, Mary Munro tells you that Sergeant Harris has interviewed for a job with another police department.

I. **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** the situation using Vertical Dyad Linkage Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

With whom does this leader have In-Group relationships?

With whom does this leader have Out-Group relationships?

For each Out-Group follower, list the missing Common Indicators of an In-Group Relationship. (List the name, followed by the indicators he/she is missing/lacking.)

III. **Explain** an Area of Interest in terms of how the leader's Out-Group assignment of followers influences individual work group member's performance, motivation, and satisfaction. Likewise, explain the impact of the leader's relationships on group and organizational performance.

How has the relegation of some employees to an Out-Group relationship damaged the motivation, satisfaction, and/or performance of individuals? Who has been affected and how?

Has the performance of the group been affected? How?

Has the performance of the organization been affected? How?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. **Select** an appropriate theoretical leader strategy(ies) that would be effective in this situation.

Which theoretical leader strategies should the leader use to address the Area(s) of Interest in this situation?

V. **Apply** the theoretically correct leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest. The plan should be realistic and holistic, address all the Areas of Interest you have identified and translate the theoretical leader strategies into real work action. What will you do and say to whom, when, where, and how?

VI. **Assess** the effectiveness of your leader plan and revise as needed. After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, “What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?”

Name: _____

Complete a Student Journal entry for Vertical Dyad Linkage.

From your professional life, describe a work group to which you belong(ed) where the leader had In- and Out-Group relationships with individual group members. Which category were you in? What Common Indicators of an In-Group Relationship were present (or absent) in your relationship (depending on which category you were in)? With the other category (the one you were not part of), what Common Indicators of an In-Group Relationship were present (or absent)? With the Out-Group, what was the impact on individual group member's performance, motivation, and satisfaction? What was the impact of the Out-Group on group performance and the group's ability to contribute to the organization's goal? What could the leader have done to improve the In/Out-Group situation and thereby enhance individual, group, and organizational outcomes?

A large area of the page containing 25 horizontal lines, intended for taking notes or writing.

LESSON 20: SITUATIONAL LEADERSHIP

Introduction

This lesson consists of:

1. Situational Leadership Theory
2. Case Study
3. Student Journal Entry
4. *Twelve O'clock High* Background Information

Assignment

1. **Read Course Guide**, pages 39-55.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Situational Leadership Theory.
 - A. **Identify** the follower level of development.
 - B. **Classify** the leader's current leadership style.
 - III. **Explain** an Area of Interest in terms of the mismatch between the leader's current leadership style in this situation and follower's level of development.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
3. **Complete a Student Journal entry** for Situational Leadership.

Using a police group or organization of which you have been a member or the leader, briefly describe a situation where the group/organization was not functioning as efficiently as possible. At which level of development were the group/organization members? What leadership style did you/the leader use? Was there a match? Assuming a mismatch, what was the impact of the mismatch on individual, group, and organizational outcomes? What could the leader have done differently to create a better match between follower level of development and leader style?

SITUATIONAL LEADERSHIP THEORY²⁷

In Lesson 18, we viewed leadership as a social exchange wherein the leaders and the followers each have something to give, something to gain, and potentially something to lose in the leader-follower transaction. We also discussed a concept called the Locus of Leadership (Figure 25 in Lesson 18) wherein the leader, the follower, and the environment all interacted. Next we explored Vertical Dyad Linkage Theory and learned that leaders alter their style of leadership from formal to informal by placing a follower into either the Out-Group or In-Group, respectively. In this lesson, we will develop all of the above ideas by focusing on how successful leaders adapt their leadership style to fit the requirements of the situation. Using Hersey and Blanchard's **Situational Leadership Theory**, we will see how effective leaders use a combination of directive and supportive behaviors in response to a combination of follower competence and commitment (called follower development) in order to optimize group performance.

Given that the crux of this theory is the alignment of leader behavior with follower characteristics, the leader must first make an accurate assessment of the employee's current level of development. For example, new officers have relatively little skill but lots of enthusiasm about their new job, while more experienced officers may have equal enthusiasm but significantly better skills. Based upon this assessment of follower abilities and motivation, Situational Leadership would suggest that the leader treat these two groups of followers differently by adapting his or her leader behaviors to match the followers' attributes.

Followers and the situations they are asked to confront are dynamic. As new employees become accustomed to their jobs they require less supervision. However, given life's turns, a highly qualified employee may lose competency when confronted with a personal problem, as new tasks are assigned, or as new goals are established. Situational Leadership prescribes that leaders, too, must adapt their behavior accordingly to remain effective and keep a group at optimum efficiency.

An inappropriate match between leader actions and a follower's development level results in poor individual performance as well as sub-optimum group and organizational performance. Let's take a closer look at each of these two crucial sets of variables and briefly explore their use in the work place.

²⁷ The material cited in this lesson is from Hersey, Paul and Ken Blanchard, *Management of Organizational Behavior: Utilizing Human Resources*, 4th ed., (Englewood Cliffs, NJ: Prentice-Hall, Inc.), 1982. Since then, Hersey and Blanchard have revised their model and republished their book, which is now in its eighth edition (2001). You may have attended training that presented this theory based on their refined model, but the basic concepts remain the same.

The Followers' Level of Development

In Situational Leadership, *follower development* is defined as a follower's combined competence and commitment to perform a particular task without supervision. *Competence* is a follower's knowledge and/or skills to accomplish a specific task. It can be gained from education, training, and/or experience. *Commitment* is a combination of confidence and motivation to accomplish the same task. A confident follower is one who feels able to do a task well without much supervision, while a motivated follower is one who has interest and enthusiasm in doing the task.

Given that there are two developmental variables, there are four possible combinations of follower development. Situational Leadership identifies these four combinations as development levels that take into account the competence and commitment of the individual employee or group. These four levels are depicted below.

FOLLOWERS' DEVELOPMENT LEVEL	COMPETENCE	COMMITMENT
D1 (Enthusiastic Beginner)	Low	High
D2 (Disillusioned Learner)	Some	Low
D3 (Reluctant Contributor)	High	Variable
D4 (Peak Performer)	High	High

As you can see, individual development is not a straight, or linear, progression. As individual development levels increase from (D1) to (D4), follower competence and commitment fluctuate. For example, when first beginning a new task, most individuals are enthusiastic and ready to learn, but they have little prior knowledge or experience. This is captured in level D1, *Enthusiastic Beginner*.

As they begin to perform the task, individuals gain some degree of job knowledge. Often, however, they find that the task is either more difficult to learn, or they find it less interesting than they had anticipated. This disillusionment decreases their commitment, while their competence is increasing. This is level D2, *Disillusioned Learner*.

Once employees overcome these initial stages of development and learn to perform the task, they often experience a stage of self-doubt or even resistance to continue performing the task. These employees may question whether they can perform the task well enough on their own, or they may question whether they want to. Now that the training structure, as well as initial thrill, is gone, employees may become level D3, *Reluctant Contributors*. These alternating feelings of competence and self-doubt cause the variable commitment associated with this level of development.

Once the self-doubt and sporadic motivation are overcome and the group is performing on its own, the followers are at level D4, *Peak Performer*.

The Leader Behaviors

Generally speaking, Situational Leadership defines leader behaviors as either directive or supportive in nature. *Directive leader behavior* is defined as the extent to which a leader engages in one-way communication; spells out the followers' role; tells the follower what to do, where, and how to do it; and then closely supervises performance. *Supportive behavior* is

defined as the extent to which a leader engages in two-way communication, listens, provides encouragement, facilitates interaction, and involves follower(s) in decisions.

Given that there are two leader behavior variables, there are four possible combinations or types of leader behavior. Situational Leadership identifies these four combinations as styles. They are depicted below.

STYLE	LEADER BEHAVIORS	
	DIRECTIVE	SUPPORTIVE
S1 (Directing)	High	Low
S2 (Coaching)	High	High
S3 (Supporting)	Low	High
S4 (Delegating)	Low	Low

High directive and low supportive behavior is referred to as the *Directing* leader style and is captured as leader behavior S1. The leader defines the roles of the followers and tells them what, how, when, and where to do various tasks. Problem solving and decision-making are initiated solely by the leader. Additionally, the leader announces solutions and decisions, communication is largely one-way, and the leader closely supervises implementation. Although this style may appear to be highly authoritarian, it is appropriate for an Enthusiastic Beginner individual or group development level D1.

As we discussed above, a D1 group or individual is excited to get started and learn a new task, but lacks the competence. Thus, a Directing/S1 style that provides clear, specific direction and close supervision has the highest probability of addressing their needs to accomplish the task. Since commitment is high, a great deal of support by the leader is not needed.

High directive and high supportive behavior is called *Coaching* and labeled as leader behavior S2. In this style, the leader still provides a great deal of direction and leads with his/her ideas, but the leader also attempts to hear the employees' feelings, ideas, and suggestions about decisions. While two-way communication and support are increased, control over decision-making remains with the leader. This style of leader behavior matches best with Disillusioned Learner or D2 followers.

Above we learned that D2 followers have some competence but lack commitment to take responsibility; they need both direction and support. Given these characteristics, Coaching/S2 leader behavior provides not only directive behavior for those lacking competence but also supportive behavior to build confidence and enthusiasm. The Coaching style encourages two-way communication. It builds the confidence and motivation (commitment) of followers who are struggling to acquire new skills. Coaching leaders maintain control and the responsibility for decision-making until the group acquires the necessary task competence.

High supportive and low directive behavior is called *Supporting* or S3 leader behavior. With this style, the control over day-to-day decision-making and problem solving switches from the leader to the followers. The leader's role is to provide recognition, to actively listen, and to facilitate any problem solving and decision-making that is done by the followers. This style is appropriate for an employee or group in the Reluctant Contributor/D3 level of development.

As discussed above, employees in this development level are competent but have variable commitment toward the assigned task. Their variable motivation is often a function of their lack of confidence. However, if they are confident but uncommitted (remember that commitment includes both motivation and confidence), their reluctance to perform will be more of a motivation problem. In either case, the leader needs to openly communicate with and support the employees. This will usually encourage followers to supplement the skills they already have with those recently acquired.

Low supportive and low directive behavior is labeled *Delegating* or S4 leader behavior. With this style, the leader discusses problems and goals with the follower(s), and then allows the follower(s) to decide themselves. Employees have significant autonomy and control over how tasks are to be accomplished. Officer(s) in this category are allowed to run their own show and take responsibility for their own behavior. As followers have the task under control, the S4 leader provides little support and little direction. With a D4 group, a delegating style is most appropriate.

A common misconception, however, is that Delegating/S4 leader behavior means that the leader is completely uninvolved. This is not true. An organizational leader is always ultimately responsible for his or her group's actions and goal accomplishment. Rather, an S4 leader has the luxury of spending more time on goal setting and problem identification and less (but not zero) time monitoring job performance as employee(s) at this level of development are trained, motivated, and aligned with the leader's goals.

Key Points about Using Situational Leadership

Situational Leadership can and should be proactive. Enlightened leaders anticipate upcoming situational variables, and then adjust their leadership behaviors accordingly. If the demands of the job, the strength of employees' motivation, or even an anticipated change in daily operations occurs, the Situational Leader should anticipate potential problems. Future challenges, as well as future opportunities, may require leaders to switch to behaviors that will be more suited to increased organizational performance in a new situation.

As you use Situational Leadership think about one implicit but essential assumption: Leaders are willing and able to change their behavior to meet followers' needs! But is this possible? Consider these questions:

- Do you intentionally change your leader style according to the situation?
- Do you alter it according to employee needs?
- Can you remember doing this before?
- If not, do you believe you have the ability?
- If you can't alter your leader behavior, how can you still optimize group performance?

Conclusion

As one of the first and fundamental leadership theories, Hersey and Kenneth Blanchard's Situational Leadership provides us with a simplistic but useful approach to conceptualizing

leadership. As we explore this area further, we will examine other situational variables as well as alternate theories.

Case Study

You are the Commanding Officer of Detective Services Group. Several diverse investigative units are under your command, including Robbery Homicide Division (RHD). You are always busy and frequently in the public's eye because your divisions are responsible for the high profile, complex cases that exhaust the resources or expertise of area detective divisions.

Lately, you have become worried about the Robbery-Homicide Division (RHD). Captain Jim Horne is the new commanding officer; he had recently come to Robbery Homicide following the retirement of the legendary Bill Jones. Captain Bill Jones had led the division for ten years. Jones developed RHD's excellent reputation throughout the law enforcement community. Recently, however, under Captain Horne's leadership, RHD has shown a noticeable decline in performance. Last week the Major Crimes Section of RHD executed a search warrant at the wrong address and dragged an elderly woman from her bed at gunpoint. This proved to be a public relations nightmare. What concerned you most was that this blunder was caused by sloppy police work, the type not normally attributed to this elite division. It also showed a lack of supervision by Captain Horne.

Jim Horne desperately wants to do well; he recently located and attended two FBI seminars and a Crime Scene Management Course. His use of these skills has proven adequate for managing basic investigations, but he soon learned that the classroom and the real world are two very different places.

You remembered how Captain Horne had come to you for guidance after the bad search warrant execution. Unfortunately, he walked in at a time when you were busy. You told him, "Look, Jim, you were put in this position to lead RHD. If I do your job for you, you'll always be coming to me for the right answers. Then I might as well take over your division myself. I'm in charge of several major investigative functions in the department; I can't run all of the divisions myself. You were brought here to take care of RHD. You know what is expected of you; now go out there and do it!"

Despite his initial enthusiasm for his new position, Captain Horne has become very frustrated with the obvious decline of RHD. Since his arrival, the division has shown a lack of initiative and the robbery and homicide crime statistics are increasing. Captain Horne is anxious to turn things around.

Recently, the Robbery Special Section of RHD received information from a confidential reliable informant. Ben Raffi, the ringleader in a series of armed robberies of jewelry stores, intended to rob Jeffrey McNally's Gems at closing time on Friday night. Robbery Homicide Division met with patrol units and prepared the tactical plans to intercept and arrest Ben Raffi and his ring of hoods. No surveillance or Metropolitan units were used.

The jewelry store robbery became a disaster. Patrol Sergeant Barry White and RHD Detective Lisa Stockton were guarding the back door of the business, but they were caught off-guard by an armed lay-off suspect in the rear alley. That suspect fired at both White and Stockton, causing gunshot wounds to the legs of both officers. RHD Detective III Larry MacDonald, who was not wearing body armor, rushed to the aid of White and Stockton and mortally wounded the suspect. In the exchange of gunfire, however, Detective MacDonald was shot once in the chest. MacDonald will survive, but he'll probably be hospitalized for several weeks and medically retired.

In your heart, you blame Captain Horne but you also blame yourself. You consider getting Horne transferred out of your command, but you realize there is no one available with better qualifications. Besides, you worry about shaking up RHD with a new leader all over again. Immediately, you must meet with the wounded officers and their families, confer with the chief of police, and handle the media. You know that it is your responsibility to, somehow get Captain Horne back on his feet and performing at the level you know he can attain.

I. **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** the situation using Situational Leadership Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

What is this follower's current development level?

How much (high or low) directive behavior has the leader provided?

How much (high or low) supportive behavior has the leader provided?

How would you classify the leader's current style?

III. **Explain** an Area of Interest in terms of the mismatch between the leader's current leadership style in this situation and the follower's level of development.

How has the mismatch between Captain Horne's development level and the leader's style influenced the motivation, satisfaction, and/or performance of individuals in this scenario?

What is the impact of the leader-follower mismatch on the working group's performance?

Has the mismatch affected the organization's performance? How?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. **Select** an appropriate theoretical leader strategy(ies) that would be effective in this situation.

Which theoretical leader strategy(ies) should the leader use to address the Area(s) of Interest in this situation?

V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest. The plan should be realistic and holistic, address all the Areas of Interest you have identified, and translate the theoretical leader strategies into real world action. What will you do and say to whom, when, where, and how?

VI. *Assess* the effectiveness of your leader plan and revise as needed. After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, “What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?”

Twelve O'clock High: Synopsis and Background

Twelve O'clock High is a 1949 Academy Award winning film that portrays the intense aerial combat of the Allied bombing campaign against Germany in WWII. The film takes place at Archbury Airfield, England, and focuses on the men of the American 918th Bomber Group. As the film opens, the 918th has just returned from another bombing mission against German targets in France. The 918th's performance is bad. The unit has been unable to hit targets, and it is experiencing an unusually high number of aircraft and aircrew losses. Very poor weather, combined with daylight and low-altitude bombing missions have not made things any easier for the 918th. Morale and satisfaction are low, as is the motivation to perform to standard. Many members of the unit are making excuses to miss duty. Yet the other Bomber Groups in the 8th Air Force are having much higher levels of success, under the same general conditions.

The 918th has developed the reputation of being a hard luck unit. Yet, despite these issues, the men of the 918th are extremely loyal to their commander, Colonel (COL) Keith Davenport. To his men, Davenport is their friend and confidant, and in their eyes, he can do no wrong. COL Davenport attributes the failures of his unit to external influences (remember attribution theory from earlier in the course). He believes that the failures are due to impossible missions issued from higher headquarters that place inordinate demands upon his unit and personnel capabilities. Additionally, he blames the bad weather and inaccurate intelligence about the strength and location of enemy anti-aircraft defenses. He feels that higher headquarters has generally lost touch with the reality that combat crews experience and is consequently losing good men by executing bad missions.

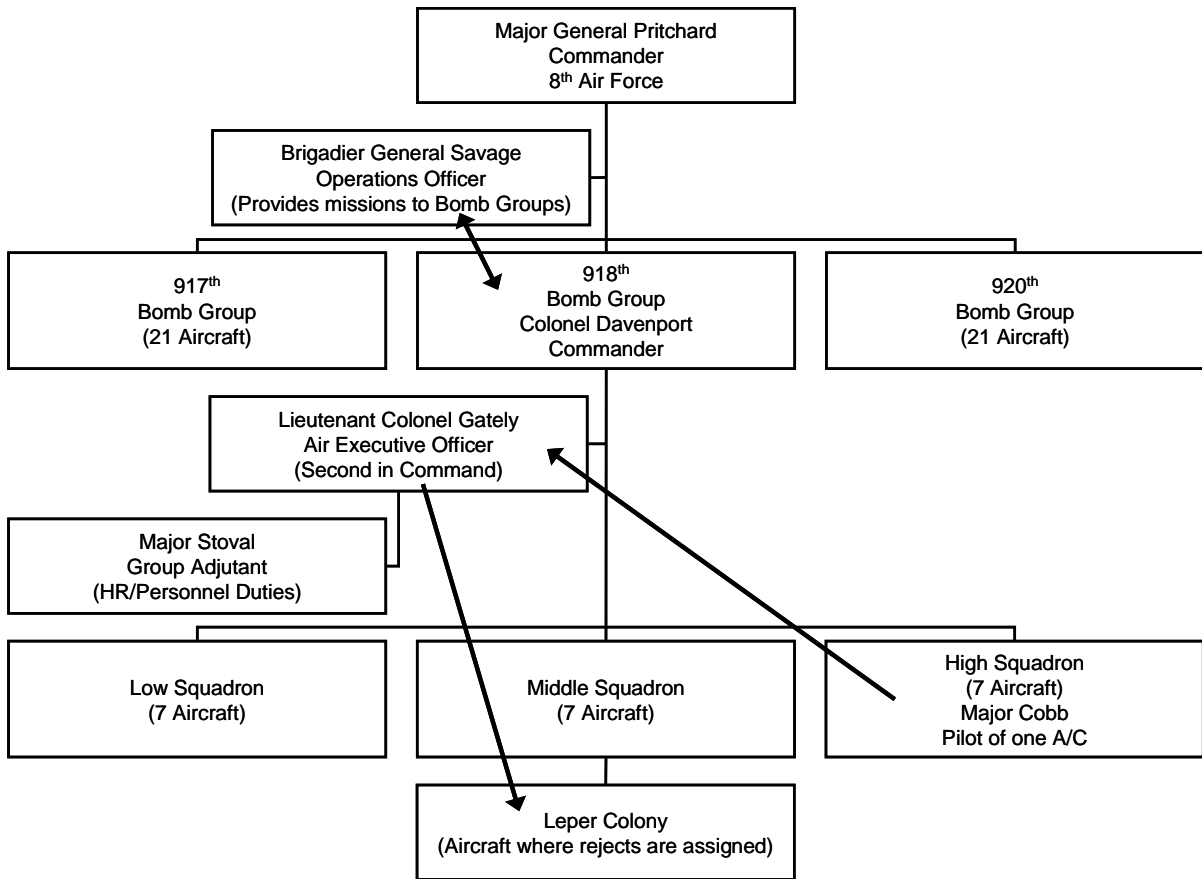
Concerned about this situation and the 918th's poor performance, the 8th air force commander, Major General (MG) Pritchard, decides to personally visit the 918th with his operations officer, Brigadier General (BG) Frank Savage (Gregory Peck). COL Davenport relates his concerns to MG Pritchard in an intensely emotional and confrontational meeting. MG Pritchard, recognizing that COL Davenport is no longer an effective commander, relieves him of command and orders the 918th to stand down from operational missions. In a very poignant scene, MG Pritchard asks BG Savage to take command of the 918th in what Pritchard believes might very well be an impossible task. This sets the stage for the remainder of this classic tale of a leader, faced with a difficult task under the worst of circumstances, who demonstrates tremendous leadership knowledge, skills, and abilities.

Some of the key events that occur in the film are listed below:

1. BG Savage arrives at the 918th Bomb Group Headquarters and finds that discipline is poor. He reviews the personnel files of all the members of the group.
2. The air executive officer (the primary assistant and second in command to the Group Commander), Lieutenant Colonel (LTC) Ben Gately, a solid officer with a strong file, is not at his place of duty. Savage orders the Military Police to find and arrest him. When he is found, Savage chastises him, removes him from his air executive officer position, and puts him in charge of the Leper Colony, a single aircraft where all of the 918th's misfits will be assigned.

3. Under a great deal of tension, Savage conducts his first Air Mission Brief. He does not believe in the bad luck label and orders the 918th to fly practice missions until operational missions resume. This is a back to basics approach. He also offers a transfer to anyone who cannot cut the mustard and perform to Savage's standards.
4. BG Savage tells the flight surgeon, Captain Kaiser, that the unit does not have medical problems. Rather, Savage believes it lacks the pride necessary for sustained combat operations. Savage tells Kaiser that aircrewmembers should be so motivated to fly with their crews that the last thing in their mind should be being left on the ground.
5. Every pilot in the 918th submits a request for transfer. However, Savage earns a confidant in the group adjutant (the group's HR director and principle administrator), Major (MAJ) Stovall, who delays the processing of the requests for transfer.
6. During the second Air Mission Brief, Savage tells the men that their performance is improving. He then conducts an after action review, challenging each man to justify his actions during the mission. Savage focuses on one bomber commander who left his formation to help a damaged aircraft that was piloted by his best friend. Savage chews out the commander for his action. Savage criticizes the commander for putting himself and his feelings ahead of the needs of the group, emphasizing that every bomber is essential to maintain group integrity and effectiveness.
7. Savage leads the 918th on a successful mission after MG Pritchard (Savage's boss) recalled all three bomber groups in mid-mission because of bad weather. We learn in a post mission meeting between Pritchard and Savage that Savage ignored the call citing a broken radio. Despite Savage's intentional violation of orders, the 918th effectively completes the mission with no bomber losses, thereby earning a unit commendation (award) for their bravery.
8. Savage has a discussion with Lieutenant Jesse Bishop, a Medal of Honor nominee and peer leader among the 918th's pilots, about why the unit still lacks pride. The discussion centers on why they are doing what they are doing. Savage explains the importance of their mission.
9. The inspector general (an independent and feared investigation office) comes to Archbury to investigate why requests for transfer have not been forwarded to higher headquarters for action (see #5 above). MAJ Joe Cobb, the new air executive officer, announces to Stovall and Savage that the pilots pulled their requests electing to stay in the 918th.
10. Savage learns that LTC Gately, the commander of the Leper Colony, has flown the last three missions with a broken back and is now in the hospital in traction. BG Savage visits the hospital and expresses his pride in Gately's leadership.
11. Savage eventually collapses from exhaustion, and a fully recovered Gately leads the 918th Bomber Group on the day's successful mission.

Figure 31. “12 O’clock High” Organization and Characters



LESSON 21: TRANSFORMATIONAL LEADERSHIP

Introduction

This lesson consists of:

1. Transformational Leadership Theory
2. Case Study
3. Student Journal Entry
4. “The Subordinates”

Assignment

1. **Read Course Guide**, pages 57-72, including the abridged article, “The Subordinates.”
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Transformational Leadership Theory.
 - A. **Identify** the prerequisite conditions for transformational leadership in this situation.
 - B. **Identify** any transformational leadership behaviors evident in the situation.
 - C. **Identify** the current outcomes of the leader’s influence attempts.
 - III. **Explain** how the absence of transformational leader behaviors is contributing to the followers’ resistance/reaction.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
3. **Complete a Student Journal entry** for Transformational Leadership Theory.

Think about a work group to which you have belonged as a police officer and discuss EITHER **Option 1** or **Option 2**.

Option 1 – Already Exposed to a Transformational Leader.

As either a group member (of a group with a transformational leader) or a transformational leader yourself, describe your experience. What existing conditions in your work group/organization made the transformational leader (or you) effective? What transformational leadership behaviors were evident in the situation? How did the group members respond to the transformational leader? Knowing what you know now, what transformational leader behaviors were missing? Could the transformational leader have done differently to improve his or her effectiveness?

OR

Option 2 – Haven’t Seen a Transformational Leader Yet.

If you have not seen or experienced a transformational leader, then address the following questions concerning your current police work group or higher organization. What is the vision of the work group you selected? How would you get your followers to believe in, contribute to, and support this vision? Discuss a time when you (or your group leader) demonstrated self-sacrifice or showed concern for the individuals in your work group. How can you communicate high expectations in your work group? Can you think of any unconventional strategies that might improve your work group if employed today?

TRANSFORMATIONAL LEADERSHIP

“A man does not have himself killed for a few halfpence a day or for a petty distinction. You must speak to the soul in order to electrify the man.”

—Napoleon Bonaparte

Why do most leaders elicit sufficient, acceptable performance from their followers while a few inspire extraordinary achievement? Most leadership research, training, and even our expectations of leaders focus on getting the job done. As leaders, we have been selected, evaluated, promoted, and established our reputations on a set of standards that require us to provide well-defined rewards for good workers, to punish those who do not perform up to standard, and to keep the whole operation on track.

In this course thus far, we focused on leadership as a transaction or interaction involving the leader, the follower, and the situation. Yet we see very effective leaders who get the job done but don’t affect their followers the same way others do. Some talented leaders touch the psyche of their followers and inspire behavior. This is clearly beyond the concepts we’ve discussed so far. So what is missing?

All along, this course has hinted at the notion that there might be more to leadership than *Let’s Make a Deal*. Consider, if you will, the concept of self-regulation from Motivation Through Consequences. Can a leader have any effect on an employee’s internal

standards of conduct? What about the effect on followers of Referent Power and Internalization? Is it possible that these concepts could be part of some higher or more personal and compelling way to motivate people? Think for a moment about the coach that gets his team excited for a big game and draws from the players an unprecedented performance and victory. This would appear to go beyond an exchange or transactional approach to leadership. How then does this happen?

Pursuing this question, leadership researchers recently directed their attention to those remarkable leaders who inspire superlative performance in ways beyond the theories we have discussed. The phenomenon they found is called **Transformational Leadership Theory**.

Transactional versus Transformational Leadership

To understand transformational leadership, it is first useful to contrast it with traditional, or transactional leadership, which is based on the concepts we've discussed thus far.

The transactional leader uses a cost-benefit or quid pro quo approach to motivating followers. This leader provides what a group needs and in exchange, they perform. The transactional leader is responsive to followers' immediate self-interests and needs, leading by exchanging pay, status, promotion, and similar rewards for work effort. Transactional leadership relies upon equity and reciprocity to achieve compliance.

The transformational leader, on the other hand, elicits more than mere compliance from followers. This concept of leadership envisions a transformation of followers' values and attitudes, thus motivating them to perform. Such a leader goes beyond basic emotions such as fear, jealousy, or greed. Rather he or she appeals to ideals and moral values such as justice, patriotism, or self-improvement. Transformational leaders motivate their followers to forsake self-interests for the advancement of group or organizational goals. He or she asks followers to transcend personal needs and yet, still achieve them through the achievement of team, unit, or organization goals. Follower performance stems from the internalization of values rather than the appeal of rewards, threat of punishments, or gratification of other personal needs. Transformational leaders actively seek and achieve new attitudes, motivation, and behaviors.

At this point, it is important to state that transactional and transformational leadership coexist comfortably. These two styles of leadership are not mutually exclusive; in fact, every transformational leader must first be a competent, effective, day-to-day transactional manager. Given the realities of time constraints and mundane tasks that do not require exceptional performance, it is necessary for the transformational leader to exhibit effective transactional behaviors. Reward power, coercive power, equity, and expectancy all have a very necessary place in the transformational leader's approach. In fact, the transformational mindset will actually improve the effectiveness of every theory and leader action we have covered in the course to date.

The Elements of Transformational Leadership

True transformational leadership has three elements that often appear in the leader's thoughts, speech, and behavior. These three ingredients are charisma, individualized consideration, and intellectual stimulation.

Charisma is the emotional component. It encompasses the faith and respect afforded the leader and the pride experienced by followers. Charisma also includes the sense that the

leader is capable of seeing what is currently important as well as having the vision to anticipate the future. Although charisma is a telltale sign of a transformational leader, do not be fooled by the charismatic speechmaker alone. In fact, many transformational leaders have a quiet, powerful charisma that does not require a platform, podium, or microphone.

The second ingredient of transformational leadership is individualized consideration. Again, this means far more than publicly saying you care; it means having and showing a deep, heartfelt desire to contribute to the growth and well-being of others. Consideration is not the same as charity; it can mean delegating meaningful projects, interacting with followers on an individual basis, and devoting special attention to the personal needs of followers.

Intellectual stimulation, the third component of transformational leadership, encourages leaders and their followers to rethink and re-evaluate ritualized ways of doing business. Transformational leaders listen and put their knowledge to use in the form of synergy, blending everyone's ideas into a composite greater than the sum of its parts. To do so, there must come a basic recognition that the followers, too, have valuable information and thoughts. Transformational leaders humbly recognize and use their followers' intellectual contributions.

Effect on Followers

In our lesson on the Bases of Power, we discussed four possible outcomes to leader influence: resistance, compliance, identification, and internalization. We see that transformational leadership often leads to identification or internalization since it strives for attitude and value changes. Transactional leadership, on the other hand, most often leads to compliance; it is less likely to change attitudes.

Transformational leadership leads to extraordinary performance. It goes far deeper than superficial exchanges between employee and boss. Transformational leaders elicit a powerful, willing alteration of followers' attitudes. Once the followers personally embrace the goals and values of the organization, the result will be superlative motivation, satisfaction, and performance.

Effect on Leaders

Sometimes the first reaction leaders have when considering the adoption of a transformational leadership style is bewilderment. How, after all, does one become this exceptional, larger-than-life leader? Another common reaction is one of disdain. This transformational stuff sounds weird, touchy-feely, and certainly not like anything a mature, respected law enforcement leader should adopt. Very often, another reaction is fear. It takes enormous amounts of personal and moral courage to step outside the box, employing the concepts of Transformational Leadership Theory. After all, when you open previously closed lines of communication, you may see and hear things about your or your organization's weaknesses and vulnerabilities that are painful.

The researchers in this field and your course coordinators share your concerns. But compare your concerns against the potential benefits of transformational leadership. Consider the very real benefits to your relationship with followers, your development as a leader, and the increased performance of your organization. If it does not work for you in the end, you can always go back to being the leader you were—almost.

Once you have been exposed to Transformational Leadership Theory, chances are that traces of it will show up somewhere in your interactions with your followers or in your vision of what your job could be. Whether you use it a little or adopt it heart and soul, Transformational Leadership Theory can be your key to elevated satisfaction and performance.

Applying Transformational Leadership Concepts

Transformational leadership is effective to some degree in any context. However, there are certain times and situations when transformational leadership will be more affective. The following conditions tend to nurture transformational leadership:

1. Crisis, change, and instability
2. Mediocrity
3. Follower disenchantment
4. Future opportunity

During periods of crisis, change, and instability, traditional values and beliefs may be questioned. The old ways of doing things may not be enough to get the organization through the crisis. Thus, the transformational leader may appeal to the values of the followers and call upon them to put their hearts into their work effort. Such transformational leadership is not restricted to cataclysmic, acute crises but also whenever the values of an organization are being attacked or during a particularly unstable time. By its very nature, transformational leadership carries with it a challenge to the old order, a break with continuity, a risky adventure, ferment, and change. For example, Franklin D. Roosevelt was able to calm and transform the American people during the Great Depression and World War II with his Fireside (radio) Chats.

At times when there is a general malaise or mediocrity in an organization, the leader may need to go beyond the current levels of motivation, satisfaction, and performance. Transformational Leadership Theory is tailor-made to energize employees and catapult the organization to new, heightened accomplishments.

When employees are disenchanted or unhappy with current conditions, a transformational leader will provide the direction and vision needed. Disillusioned followers are particularly receptive to the emotional, inspirational influence attempts made by a transformational leader. Unfortunately, many cult leaders take advantage of the powerful forces of transformational leadership in situations like this. They are able to gather a large following by attracting those who are frustrated or dissatisfied with present conditions. Jim Jones, the evangelical minister from California, was able to use a charismatic, transformational style to appeal to people's dissatisfaction with relationships and conditions in the U.S. With a congregation of hundreds, he convinced them to move from the U.S. to Guyana and later to commit mass suicide. Jim Jones and other infamous leaders such as Adolf Hitler are examples of the dark side of transformational leadership. While these situations are tragic, they do demonstrate the awesome power of transformational leadership.

The transformational leader surveys the future environment, then inspires followers to see the tremendous opportunities that lie ahead. This leader is an opportunist, encouraging his or her organization to capitalize on the knowledge they have gained, the public attention that has been focused on their problems, or any other positive elements that have resulted from turbulent times. The leader may ask the followers to set aside their self-interest for the present in order to pursue a goal in the future.

Who Can Be a Transformational Leader?

It may seem that you must be the president, chief executive officer, or a chief of police to engage in transformational leadership. This is not the case. Consider any sergeant, civilian supervisor, lieutenant, or captain who is taking over a new assignment. Conditions of follower disenchantment, instability, change, and future opportunity may all be present in the organization. On the other hand, an incumbent leader may see these conditions develop over time in their work group. Either way, employing Transformational Leadership Theory may be beneficial. How is it done?

Transformational Leader Behaviors

Transformational leader behaviors are listed and described below; they should be used together in a broad approach to leadership. They represent a dramatic and serious change in the way leaders approach their responsibilities. One cannot approach transformational leadership half-heartedly and expect to see results. This approach is a dynamic and consuming way to approach life in the workplace as a leader. The components of this approach to leadership are listed below:

1. Develop and communicate a vision
2. Use unconventional strategies to achieve performance
3. Communicate high expectations and confidence
(Especially in areas such as integrity, ethics, and performance)
4. Show concern for followers
5. Demonstrate self-sacrifice

The foundation of Transformational Leadership Theory is developing and effectively communicating a vision about where the group or organization is headed and what it does. The leader's vision serves as a source of self-esteem and common purpose for every member of the organization. A leader may realize the need for a major revitalization of the organization and use a vision to identify, clarify, and achieve key changes. Or a vision may reaffirm, reenergize, and refocus existing work groups or organizational direction. Regardless, the vision should convey an intuitive, appealing picture of what the organization can be in the future. For example, two bricklayers were working side by side at a construction site. When the first was asked what he was doing, he replied that he was laying bricks. When the other was asked, he responded that he was creating a great cathedral. The first bricklayer was only following blueprints; the latter had a vision.

Visions must be communicated clearly and frequently. It can be done through speeches, policies, behaviors, or symbols. An example of a leader who possessed and communicated his vision was Martin Luther King, Jr. In his “I Have a Dream” speech, King was not just interested in specifics like allowing black Americans to eat at dime store lunch counters or attend integrated schools. Instead, he communicated the broad vision that all American citizens would embrace equality. Likewise, Lincoln articulated his vision for America in his Gettysburg Address, and Ghandi demonstrated his vision for his homeland through a simple, nonviolent lifestyle.

Tom Peters, in his book *Thriving on Chaos*, discusses the creation of a vision for modern organizations living in a chaotic world. He warns about the fad of “visioning” that has swept the business world, and he encourages leaders to search for a succinct and uplifting philosophy that can replace the thick strategic plans and policy manuals written for yesterday’s more placid times. He states that the process of creating a vision is personal; it is also the essence of leading in chaotic times. Peters doesn’t give specifics on preparing a vision, but he tells us it should be the leader’s, developed for him- or herself in conjunction with his or her people and organization. Several specific traits of an effective vision, as listed from Peters’ book, include the following:

- Effective visions are inspiring. Inspiring visions rarely include numbers. Numbers are saved for objectives or goals. Instead, effective visions ask for the best in a way that is easy to understand.
- Effective visions are clear and challenging. There should be no question about what the leader wants. The leader must clearly convey what is expected in order to unite the organization in the mission.
- Effective visions must be stable but constantly challenged. The vision must act like a compass in formidable terrain. It guides us through tough times and sets us on course. Like the declination deviation of a compass, however, a vision loses its value if it is not adjusted to its surroundings.
- Effective visions prepare for the future but honor the past. Ronald Reagan presented a vision to the nation as he urged us to create new future opportunities by recalling our entrepreneurial, high-spirited past.
- Effective visions are lived in details, not in broad strokes. A vision is concise and presents a picture of the future. Actions speak louder than words. Trite slogans and mottoes have their place, but they are the least important aspect of a vision.
- Visions should first be lived, and then posted. If you as the leader can’t live the vision, then you really can’t expect your followers to do so either. Adopting the transformational leader behaviors as guiding principles for your own leadership behavior will build credibility. Only when you actively and demonstrably live out your vision will you be transformational.

- Finally, visions are emotional. They must come from your own emotions; only then will they appeal to the emotions of your followers.²⁸

Often, this vision is achieved through the leader's use of unconventional strategies. Innovative techniques add to the followers' belief that the leader, the organization, and the vision are extraordinary and unique. One example of an unconventional strategy would be the basketball coach who asks his players to hold hands and pray before the "big game." Transformational leaders go beyond the ordinary in expressing, then acting out the vision.

Along with the vision, the transformational leader also communicates high expectations and confidence in the followers. A leader's policies and behaviors must reflect a trust and faith in the competence of the followers. Indeed, the vision expressed will be more alluring when the leader is steadfastly committed to his/her people. For example, John F. Kennedy expressed a vision and clearly communicated high expectations when he declared that the U.S. would put a man on the moon by 1970. Despite America's late start in the space race, Kennedy demonstrated trust and confidence in U.S. technology.

A transformational leader also shows concern for individuals. This may take the form of effective delegation, mentoring, counseling, and management by walking around. One researcher advocates that individualized concern is especially important. He advises all leaders to take the time to learn the names of his or her followers and to become familiar with the employees' personal needs, strengths, and weaknesses. A division captain who periodically works a patrol car with his police officers is likely to be the kind of leader who shows individualized concern.

A transformational leader shows self-sacrifice in achieving the vision. A leader's self-sacrifice may take many forms, including personal risk taking and personal effort to attain the vision they espouse. Followers notice whether or not the boss is asking for more than he or she is willing to give. When faced with a struggling Chrysler Corporation, Lee Iacocca decided to cut his salary to one dollar in what he called "the equality of sacrifice."

The best way to understand transformational leadership is to experience it. No doubt, several people in this classroom have been profoundly affected by a transformational leader. In fact, it is likely that some members of this class already enjoy a powerful, emotional, reciprocal, transformational relationship with their followers and peers. Please use this time to consider and discuss your role in influencing human behavior. The following exercise is designed to help you explore and develop your own potential as a transformational leader.

²⁸ Adapted from Tom Peters, *Thriving on Chaos*, New York: Harper and Row, 1987, pp. 482-494. Reprinted with permission of the publisher.

Name: _____

Complete a Student Journal entry for Transformational Leadership Theory.

Think about a work group to which you have belonged as a police officer and discuss **EITHER Option 1 or Option 2.**

Option 1 – Already Exposed to a Transformational Leader.

As either a group member (of a group with a transformational leader) or a transformational leader yourself, describe your experience. What existing conditions in your work group/organization made the transformational leader (or you) effective? What transformational leadership behaviors were evident in the situation? How did the group members respond to the transformational leader? Knowing what you know now, what transformational leader behaviors were missing? What could the transformational leader have done differently to improve his or her effectiveness?

OR

Option 2 – Haven’t Seen a Transformational Leader Yet

If you have not seen or experienced a transformational leader, then address the following questions concerning your current police work group or higher organization. What is the vision of the work group you selected? How would you get your followers to believe in, contribute to, and support this vision? Discuss a time when you (or your group leader) demonstrated self-sacrifice or showed concern for the individuals in your work group. How can you communicate high expectations in your work group? Can you think of any unconventional strategies that might improve your work group if employed today?

EXCERPTS FROM...“THE SUBORDINATES”

By Col. Dandridge M. Malone
U.S. Army, Retired

He’s out there...somewhere, walking around among you right now. If you met him, as I did once, briefly, you would not really recognize what you were looking at—but then, if you got to know him better, or served for a while with him, you’d see something pretty close to “awesome.” What this guy does is lead. He doesn’t jog across lakes or feed a whole battalion with one sorry sack of those meals ready-to-eat. He is just one hell of a damn fine leader.

He’s out there among you now—today. I don’t know where he is. He could be a commander or staff officer. He might be squirreled away somewhere in a major command headquarters or out in the hinterlands. He could be your boss. He could even be ...you!

It was about eight years ago when I first heard about him, strangely enough, from his peers. You would normally expect a lot of competition, and “rooster behavior,” but that was not the case with this guy. Those peers openly admired and respected this brother officer. What I heard most was how much they learned from him, how willing he was to go out of his way to take the time to teach them, and especially about the time and attention he gave to his subordinates.

The next time I heard about him was about five years later. This time, it was his superiors—the generals—talking. He was a battalion commander by now and, at the National Training Center (NTC) (the U.S. Army’s (and world’s) premier desert training facility in California’s Mojave Desert), he had led a battalion that had done things that were, in the generals’ words, “incredible.” Eight or ten battalions had gone through the NTC by then, and the OPFOR (opposing forces) had routinely “destroyed” each one. His outfit was the first one that had decisively cleaned the OPFOR’s chronometer.

A three star (general) pointed to the guy’s officer evaluation report and said, “I’ve seen a hell of a lot of good leaders in my time, but never one as good as this. His troops do damn near unbelievable things.” The other generals nodded in agreement.

The last time I heard about him was a year or so ago from his subordinates. A young captain who had been in his battalion was talking with me about him: same guy—quiet, modest, no hype, but what a leader, what fire he could put into the soul of a unit, and what a lasting impact he had had on the lives of all those who served under him.

He understood the importance of trust. “Be your brother’s keeper.” We said that to each other, and we believed it and lived by it. We took care of one another, not because we read it in a book, but because we learned and knew that we are all in it together—the private, the sergeant, the captain and the colonel.

The trust was built over time. It came from doing things, not saying things. While he knew he could not take care of every little problem personally, he did take on many. We were important to each other, and the unit was important to us all. From the trust grew intense loyalty to each other, to the squad, platoon, company, battalion, brigade, division, Army and country.

The story was often told about two of our soldiers in uniform, picked up and given a ride by a staff officer from higher headquarters. The staff officer was in civilian clothes and did not identify himself as an officer. Recognizing the soldiers' unit, just for a joke, he challenged their loyalty with some derogatory comments about the unit, at which time the soldiers threatened him with a thorough whipping, made him stop the car, and then got out and walked. The officer got mad and next day wrote a report on their conduct. The report made its way down through channels, advocating punishment. In response, the boss gave the two soldiers certificates of achievement and lauded their loyalty in a battalion unit formation. The staff officer from "higher" got a private session with the boss about screwing around with soldiers.

Communications kept us tight and thinking alike. He talked to the soldiers at least once a week, and sometimes more, when he sensed the need. He didn't tell us what was messed up—he told us how well we were doing. If something needed improvement, he addressed it. But it always came after the good stuff. "Got to tell the bad with the good," he would say. But he made the good always greatly outweigh the bad. There wasn't a man in that unit who couldn't list all the accomplishments of the unit. And there were personal accolades handed out. He was always recognizing two or three soldiers or NCOs (Non Commissioned Officer or any of the various ranks of sergeant) or officers. I'm not talking about a formal awards ceremony (we had those at least monthly). I'm talking about Jones on guard, who, at midnight, gave him a superb challenge; or Staff Sergeant Smith, who had just been selected for an advanced NCO training course because of his outstanding performance; or Capt. Brown, who did such a great job organizing the unit trip.

The talk was not just about what had just happened or what was going to take place next week. There was teaching interspersed with personal stories. He would talk about the American Dream, how we would all be successful, and how anything was possible through teamwork, hard work and just "doing the right thing for the right reasons."

There was other communication. There was an open door, always open, late at night, and on weekends, and holidays. Many just wanted to be closer to him or seek his wisdom or guidance. We knew how he thought, we understood his priorities, and we knew they were right. We worked as a team, often in the absence of orders or guidance, because we knew what needed to be done, and this we learned from him. It went beyond garrison into the field.

We had a lot of fun as a unit. I guess the good spirit that prevailed was in large part due to the cohesiveness of our unit, our sense of belonging and the knowledge that we were the best. There were a lot of activities—we had the usual unit parties and organization days, but regularly we used to pack up the whole unit—wives and children, too—and travel to a large city for a weekend away. We never had a single incident or a single soldier who failed to come back. They knew it was a good deal, and they would not let the unit down by screwing it up. We took care of each other.

The soldiers knew he took no special favors. When fighting, he was always as dirty, as sweaty and as tired as they were. He was visible to them, and they knew he was there, sharing all the hardships they were enduring. I recall asking if he needed some help carrying his gear to the tactical operations center. I guess we were about five days into the exercise at the NTC. He said, "Thanks," but that a long time ago, a guy he thought a lot of had taught him to "carry his own roll, dig his own hole." I won't forget it.

He was the humblest man I have ever known. He never personally took credit for anything. He always gave the credit to others—his leaders and his soldiers. On one occasion, he received a letter from a very high-ranking general officer congratulating him on the performance of the unit during a high-visibility mission. He had copies of the letter made for every soldier in the unit. The clerks typed up endorsements from him to every single soldier in the unit, and then he had a copy of the general’s letter placed in each soldier’s file.

As a wise counselor to his junior officers, he always took great pains to show that there is no substitute for positive leadership. He knew that corrections can influence the minds of soldiers to see future solutions rather than past errors.

When a soldier was brought before him for an Article 15 (an Army administrative action for indiscipline), it was the most frightening thing imaginable. After hearing a soldier’s story with obvious attentiveness, he would lash out verbally in a very effective tirade about the crime the soldier committed. An individual’s loyalty to unit, country, and decency would all be called to question in an extremely fierce manner. The amazing thing about his method was that afterward, when you analyzed all that he had said, it was no different from anyone else’s Article 15; however, he placed such great emphasis on all points that the crime reached new lows of wretchedness.

After this speech, the commander would render his punishment, often achieving the miraculous and turning marginal soldiers around. He would tell the soldier about some of the things he knew the soldier was good at and give an example of something he had seen or heard of the soldier doing really well. He told the soldier that it was a shame that punishment was necessary and made the soldier feel that he had been on the cutting edge of success in the battalion. He would tell the soldier that he knew the soldier was capable of great things and that the suspension should not hinder him. This made the soldier feel grateful to the commander and, at the same time, reinforced the soldier’s positive inner beliefs about himself. The commander made the soldier aware that his potential was noticed. They were inspired to work hard to maintain the faith and belief of the man they had just seen.

He would teach his subordinates that all good commanders inspect. By doing so, they made their presence felt among the soldiers. He told us that we must always be our own harshest judge. It must be a matter of personal pride that no one is ever able to find fault with a thing you have already inspected. In doing this, he said that there is then very little room for self-doubt or worry.

He strongly believed that every soldier had something to contribute to our unit and our country. He stated that racism can be neither accepted nor tolerated. “The fate of this country hinges on us acting as educated, honest, decent, honorable men.” This summed up his beliefs and his actions about a lot of things.

We had a soldier with severe marital problems. I received reports of spouse abuse and drunkenness. The soldier had a volatile temper. While I was trying to figure out what to do, the boss took me into his office and offered some advice that I will never forget. It clearly indicated his concern for the individual soldier, even when the soldier was the wrongdoer. He said to never back a soldier into a corner where he might say or do something in a fit of temper that you might be obligated to act against. He said to always leave a soldier a way out or with a cooling down period or with a defusing technique such as asking the soldier, “When was the last time you called home?”

He taught us that the soldier sometimes must be protected from himself and that as leaders and as officers, we owe it to the soldier to always do our best to help him even in the bad times. This advice assisted me greatly in dealing with my soldier.

Once, he corrected the Adjutant, when the Adjutant had been making some derogatory comments about the Army. The commander said that a good officer never jests about his profession. There is a great loss on both sides when an officer allows himself to do this. It demonstrates that the officer has a lack of self-pride and allows soldiers to question the officer's commitment to his job.

This commander knew how to hold formations. He did not just stand in front of the unit and talk to us while we were at parade rest. He stood on a concrete block and had the soldiers gather around him. What I liked best about his formations was that he talked with us, and he'd ask us to take part in making our unit better. He'd tell us what was going on, and we knew that this guy really cared about us. He didn't need a microphone and soldiers standing at attention to make him feel comfortable. We knew he was comfortable just having soldiers standing around him.

Our commander led the singing at religious services. Lots of commanders can lead soldiers in the field, help with administrative problems, and kick butt when necessary; but few are willing to stand up in both the field and garrison and take the lead in religious ceremonies. This man could do anything. He was a master at maintaining discipline in our unit. The entire chain of command was involved in every award, promotion, re-enlistment and disciplinary action. When a soldier did well, reward was instantaneous. If a soldier made a mistake, discipline was swift. He handpicked leaders who could maintain his standards.

He was the most insightful man that I've ever known. He had the ability to look into a soldier's eyes and know how the soldier would react in a given situation. He used this ability to look deep into the soldier, assess his moral upbringing, and put the soldier in a position that would maximize his talents. He also used this ability to determine what approach he would use when talking to individual soldiers. In the nine years that I have known him, I have rarely seen him misjudge a soldier.

The first lesson that I learned from him was the importance of "reading people." He related a story to me. As a lieutenant, he took charge of a new platoon. He walked through the barracks and found two soldiers whom he had never seen before, armed and fighting with each other. In an instant, he looked into the eyes of each soldier, grabbed one, shook him and shouted for him to drop the weapon. He turned to the other soldier, spoke gently and reassured him, then took his weapon. Had his instincts not been right, we may have never known him.

When our commander was leaving, here's what we said to him at our last get-together:

"When we consider your legacy, sir, we have no reason for sorrow. You have left us the reality and a true understanding of what it is to be a soldier, a leader, a mentor, and a friend. That, sir, stays forever in every officer, NCO and enlisted man in the battalion.

"As a soldier, you have always shared the hardships and dangers of your men. 'Dig your own hole and carry your own roll,' you'd say. About soldiers, you have taught us the value of esprit, morale, discipline, and how to build and nurture the soldier's will to fight and win.

“As mentor, we have all benefited from your wisdom, experience and open lines of communication to make us more capable to serve. As a friend, you have never betrayed our confidence or failed to lend the needed support. You trusted us. You have given us a good feeling deep down about our worth and our contribution.

“For what you have taught us about leadership in particular, we are forever indebted. We have learned something about this intangible art that most people only learn in war at the expense of human life and suffering, and we offer our thanks and thanks from the soldiers whose lives will be better as a result of what you have imparted.

“So, sir, it’s been great. It doesn’t get any better. For all you have given, we offer our gratitude, and our pledge that, in this outfit, the spirit of the warrior will not diminish on your departure.”

And so there he is—this fine Army leader I’ve been talking about. First, this guy—one of you, out there, somewhere—just flat out enjoys, deep down, the hard work and continuous challenge of being a commander and a leader.

Too many commanders do not want to command, do not like it while they do it and are glad when it is over. Few come right out and say it, but I can listen to people’s words and watch people’s eyes. Some few did tell me and then went on out to lead their soldiers.

This fine leader I have been telling you about has a bottom line. It comes from a certain consistency in the way this guy leads. His beliefs about the worth and potential of people, the responsibilities of command, the importance of higher order principles, and the value of teaching all seem to be constant over time, and situation. His bottom line is neither numbers nor results. It is, instead, a bedrock foundation of beliefs and convictions that tells him what is “right” and what must be done. Again, the subordinates are quick to sense this.

Finally, and most important to me at least, I learned, like never before, that this fine leader (and those of you like him) is, as a leader, worth nothing by himself. The subordinates must always be there, must always be considered. Leadership can only exist when leaders and subordinates interact.

There is no such thing as “leader” unless this interaction occurs. There is no way you, or anybody else, can be a leader unless there are subordinates. Leadership, as a theoretical construct, a research concept, an observable behavior or the subject of a bull session in the mess hall, just does not exist and is hardly worth talking about unless subordinates are part of the equation.

Okay, so what? Is there any practical value in these things I have been telling you? Yes. Let me put together a suggestion from some of the parts and pieces of what has been discussed.

All you have to do is one simple thing. Ask those who want to command brigades—or who say they want to—to apply for the position. In the application, ask for some supporting documents, just like graduate school. You don’t need letters of recommendation from superiors because you already have those in the file. Instead of that long-winded letter on “How I Can Help the Army by Going to Graduate School,” require one on “Why I Want to Command a Brigade and the Command Philosophy I Intend to Use.”

Finally, ask for “Statements of Observations” from eight or ten people—from those who are the most critical part of the leadership equation, from...the subordinates.

Subordinate ratings? Yes. Subordinates are always going to rate their bosses anyhow, the only question is whether or not you want to use this most valuable evaluation of leadership by those who are the inseparable “other half” of the leadership equation...THE SUBORDINATES.

Think about this notion and about its implications for your future. If you can find that good leader I’ve told you about, ask him what he thinks.

He’s out there, somewhere...he could be you.

LESSON 22: STRESS MANAGEMENT

Introduction

This lesson consists of:

1. Concepts of Stress and Stress Management
2. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 73-120.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Stress and Stress Management Theory.
 - A. **Identify** the actual and perceived demands on people in this situation.
 - B. **Identify** peoples' actual and perceived capabilities in this situation.
 - C. **Identify** the stress responses evident in this situation.
 - D. **Classify** the stress responses indicating which are the results of the demands placed on the individual and which are attributable to a lack of individual capability.
 - III. **Explain** how an individual's perception of demands and capabilities results in stress and how individual stress impacts individual, group, and organizational outcomes.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
3. **Complete a Student Journal entry** for Stress and Stress Management Theory. Think about a police work group of which you have been either a member or a leader. Describe a situation where a group member experienced dysfunctional stress. What demands piled up for the stressed-out group member? What capabilities did this person lack that might have helped the situation? How did he or she react to the stress? What actions did his/her peers or leaders attempt in trying to help this individual? In retrospect, what else might have been tried to help this person?

STRESS MANAGEMENT

Stress is an inherent part of police service. From life-and-death situations in the field, to interactions with supervision, time constraints, and interpersonal relationships at home and at work, stress is present in the lives of each of your followers, peers, and even yourself. While varying from person to person, a certain amount of stress for a relatively short period can be a positive, motivating, and productive force. But when that level and duration is exceeded, the results can be dysfunctional and even devastating.

For the leader, it is important to recognize how stress can be a major influence upon the performance of your personnel, work group, section, or division command. Unmanaged and dysfunctional stress, therefore, can directly influence organizational effectiveness and a leader's personal success.

Let's look at some of the causes and consequences of stress. Then, based on this understanding, we will examine ways that leaders can more effectively manage the impact of stress in their organizations.

VIGNETTE

Jim felt his heart flutter again, noticed his sweaty palms, and realized that this was going to be another one of those days. It had started out badly—heavy traffic made him late for work. The last thing he wanted was to make a bad impression on his new employees; he had to pass by many of their desks on the way to his own. Hadn't the boss told him that this was a weak unit in the organization and that it needed strong, new leadership? Jim had just assumed his new responsibilities and setting a good example was important to him.

Looking at the stack of papers on his desk, Jim's glance fell across his ashtray—still unemptied from yesterday. It was hard for him to deny that the pile of cigarette butts seemed much bigger than he recalled from his old desk before he had received his promotion. Jim could remember well how concerned he had been about whether he was ready for such an important position. But he had also believed that if he didn't take it now, the organization would probably forget about him as a front-runner. Jim had known that this new job was going to be available for months, and he had been eager to be selected. Still, he couldn't stop that nagging little doubt that kept popping into his mind—"What if I'm not ready? What if I don't turn this unit around and really show what I can do?" He also wondered whether such thoughts might be tied to having trouble sleeping. Lately he had been having difficulty falling asleep and had awakened several times during the night.

Susan, his wife, had noticed the changes in Jim, too. Recently it seemed as if he never had any energy after he got home at what seemed to be a later and later hour. Jim's thoughts always seemed to be on something else besides home and the family. She was disappointed, even hurt, when he became angry at her suggestion that they consider buying a bigger house in a nicer neighborhood after the promotion was announced. The party she had arranged in his honor only seemed to make him more irritable. She was so proud of his achievement and couldn't understand why he hadn't been as thrilled as she was. Then there was their sex life. Jim had always been loving and considerate, but for the last few weeks he had shown no interest in her at all. It seemed that all he wanted to do after he got home was eat supper, watch the TV news, go over some papers he now routinely brought home from the office, and then fall exhausted into a fitful sleep.

Stress is an unavoidable part of life. Yet, as a scientific concept, the notion of stress is fairly new. Recently, students of individual and organizational behavior, as well as researchers in such diverse fields as psychology, psychiatry, internal medicine, physiology, sociology, and anthropology, have added considerably to our understanding of stress. The reason for this substantial interest is simply that stress may, and often does, have a significant influence on our behavior. In our personal lives, it greatly impacts how well we are able to adapt to and cope with life. Within an organization, stress may directly influence organizational effectiveness.

The incidence of stress-related disorders is increasing in the United States, and the costs of the increased demand for health services are clearly on the rise. Although the

individual and organizational costs of stress are difficult to calculate, one recent report estimated the cost of job-related stress for American industry (in terms of the decrease in productive capacity resulting from stress-related mental problems) as \$17 billion per year. Estimates of the loss in productive capacity due to stress-related physical illnesses are even higher—on the order of \$60 billion per year.²⁹ The stress on any organizational leader will be particularly costly to the organization in terms of decreased effectiveness in achieving organizational goals. If the leader suffers from decreased health and a decreased sense of well-being, the organization may suffer from lost productivity as well. Society, in turn, suffers a loss of input from the affected organization while sharing the increased costs for mental health and medical treatments.

As a consequence, the organizational leader must be concerned with stress and its management, especially as this affects the achievement of organizational goals. The effects on the organization as a whole are especially apparent under extreme stress conditions such as law enforcement, fire fighting, dispatch, and medical emergencies. Under such conditions, the cohesion and social fabric of an organization may be threatened. The organization itself may also generate stress, which must be handled by its members. Leaders should understand the effects of stress on the individual members of the organization, including themselves, in order to moderate it and to maintain an effective level of organizational performance.

Just what do we mean when we use the term stress? What produces stress in individuals as well as groups of people working together in an organization? Why do some people respond one way to a stressful situation and others in another way? What are the consequences of stressful conditions for organizational performance? Under conditions of extreme stress, how do individuals and organizations respond? What is it about extreme conditions that produce stress? The answers to these and many other questions are explored in this lesson and should provide useful insights and background information for asking two crucial questions:

- How can individuals—and, in particular, the leader—reduce stress and cope more effectively with unavoidable stressful situations?
- What can the leader do to manage the stress on others within the organization more effectively?

Nature of Stress

Stress Responses

Jim, the organizational leader in the opening vignette, is clearly experiencing stress. His palms are sweaty, and his heart is beating irregularly. He could also have butterflies in his stomach, heartburn, or indigestion, and dryness in his mouth and throat. It is also very likely that the pupils of his eyes are dilated. These are all reactions that we have probably experienced ourselves at one time or another. These physiological responses are the result of an automatic response of our nervous system that prepares us to deal with threatening

²⁹ Adams, J.D., “Improving Stress Management: An Action-Research-Based OD Intervention, in *Current Theory and Practice in Organizational Development*, ed. W.W. Burke (La Jolla, CA: University Associates, Inc., 1978).

situations. This system, known as the *autonomic nervous system*, consists of two branches—the *sympathetic* and the *parasympathetic*. These two branches work in tandem under normal conditions in healthy people.

These parts of the nervous system and their effects can be considered in terms of fight or flight. When confronted with a threatening or stressful situation, a person's body prepares to meet that threat by increasing the output of certain hormones, thus activating the sympathetic nervous system. The result is an increased flow of blood to the brain and the large muscles in the arms and legs, the dilation of the pupils of the eyes, increased sweating to cool the person expending higher levels of energy, and many other similar reactions that make the person more effective at fighting or fleeing. In addition to these bodily changes, the sympathetic nervous system also affects sexual responses in that it controls orgasm and ejaculation during sexual excitement and activity.

This biological mechanism was very adaptive for the cave men who often confronted saber-toothed tigers, mammoths, and other armed cave men. Once aroused by the sympathetic branch of the autonomic nervous system, the cave man was prepared to either fight the threat or run away—whichever appeared to be the wiser choice. Although this mechanism has remained prominent in our body's self-regulating responses, modern man faces different threats—usually social in nature. It is the overactivation of sympathetic activity when confronted with the pressures of daily life that produces what are now harmful physiological reactions. We respond to heavy traffic, deadlines from the boss, and even thoughts of circumstances such as these just as the cave man did when confronted with a snarling saber-toothed tiger. But unlike the cave man, who could follow through with action (fight or flight), modern man is often unable to fight or flee because most of the threats to which we respond are social or psychological in nature. Hence, we are simply left with arousal. When this happens too often or lasts for long periods without an appropriate action or coping response, we are likely to experience stress and even to develop stress-related illnesses.

Once a threat has disappeared or been reduced, another set of hormones increases relaxation effects. For the most part, these effects are the opposite of those involved in preparation to fight or flee and are controlled by the parasympathetic branch of the autonomic nervous system. In addition to physiological responses to stress, we react in many other typical ways. For example, in the opening story, Jim is worried about setting an example, and wonders if he is ready for increased responsibility. Jim has been angry and irritable with his wife despite having achieved an important promotion. These are psychological responses. Jim appears to be smoking more since he was promoted, and he has been having trouble sleeping. His sex life is suffering as well. We refer to these as behavioral responses to stress.

Conceptualizations of Stress

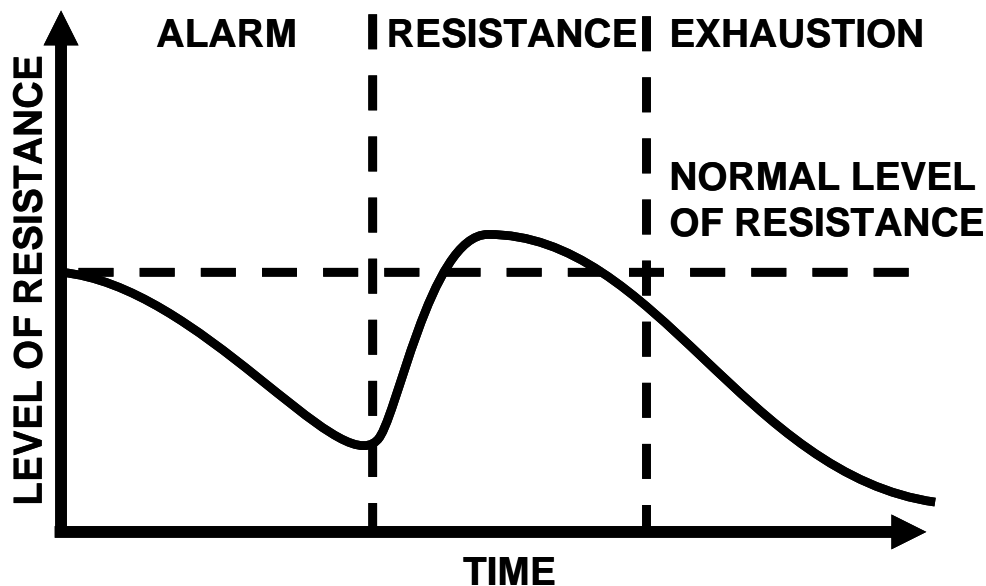
Stress as a Nonspecific Internal Response. Although we often use the word stress, and we have a notion concerning what the term means, those who study stress systematically have experienced difficulty in precisely defining the concept. The earliest and perhaps best-known attempt to define stress is the approach of Hans Selye.³⁰ Selye defined stress by the presence of an internal physiological stress response. Without evidence of a stress response,

³⁰ Selye, H., *The Stress of Life* (New York: McGraw-Hill, 1956).

there is no stress. Selye sees stress as the nonspecific (physiological) response of the body to any demand placed upon it. According to Selye, the response to a situation (stressor or demand) does not depend upon the nature of the situation itself. Moreover, the nature of the body's nonspecific response to stress does not vary from person to person (although the particular organs affected may vary). When stressed, the body always responds in a nonspecific way in an attempt to adjust to the demands of the stressor. (Returning to the example of Jim and your own experience as well, what problems do you see in defining stress as Selye has proposed?)

Among Selye's ideas, at least one appears to be useful in examining stress from the standpoint of the organizational leader. This has to do with the effects of stress over time. Selye observed a typical pattern of physiological adjustment to prolonged stressful situations. He noted that the nonspecific response goes through three stages of adaptation to a stressor over a period of time, as shown in Figure 32. Selye labeled this three-stage process the General Adaptation Syndrome (G.A.S.). During the first or Alarm Stage, the body activates its response system and attempts to adjust to a new demand. In this stage, the body's resistance, as well as a person's performance, will likely be reduced for a period of time. If the stressor continues to be present and the body is successful in adapting, a second phase, or Resistance Stage, begins. At this stage, the body has adapted, and the characteristic signs of the Alarm Stage disappear.

Figure 32. Stages of Stress Adaptation



The effects of the stressor may not appear evident during the Resistance Stage; however, the body must expend more energy than normal for coping during this stage. It may be useful to think of these stages as similar to the apparently smooth functioning of a heating system once the thermostat has been set at a higher setting. At first, during the Alarm Stage, the heating system will make more noise, increase its output, and work harder. If we increase the temperature further, the system will work at a higher level of output than was necessary at the lower setting (turning on more often, for example). Nevertheless, its functioning will appear smoother during the Resistance Stage than the Alarm Stage.

Following a prolonged Resistance Stage, the heating system may begin to break down from overuse—or even blow up. That is, it will no longer be able to function in resisting the stress (temperature setting) demands. Similar changes occur in humans. When this happens, the Exhaustion Stage has been reached. Unable to continue resistance under high stress conditions, the body becomes ill and death may result. The physiological consequences of prolonged exposure to stress from any source were referred to by Selye as “diseases of adaptation.” In people, these include ulcers, hypertension (high blood pressure), heart disease, headaches, and other stress-related disorders.

The Environmental Stressor Approach. Do you, and others you have observed, actually respond the same way to a very stressful situation? What makes a situation stressful in the first place so that we will respond with a nonspecific physiological response? If any situation that results in a nonspecific internal bodily response is to be considered stressful, do we really perceive and want to label events such as surprise, exercise, or even passion as stressful? Questions such as these have led researchers to go beyond Selye’s response-based approach.

Some researchers have decided that the more important focus in trying to develop the concept of stress may be found in the external environment. According to some researchers, rather than focusing on the presence or absence of an internal stress response, it may be more fruitful to concentrate on characteristics of the environment that make certain situations more stressful than others. In this approach, the external environment or situation may be viewed as similar to the engineering approach to stress in which a force or stress (stressor) is applied that in turn, results in strain (Selye’s nonspecific response) and perhaps ultimately in fatigue or even breakdown.

A major source of stress within the environment is change. Changing situations usually lead a person to adjust, or attempt to adapt, over a period of time because change disturbs the person’s current way of behaving. One systematic approach to the study of the effects of change has been to assess the stressful impact of social situations that impose a need for adjustment. In *Future Shock*, Alvin Toffler warned that the rate of social change could reach such a pace that it would produce adverse individual and social effects.³¹

³¹ Toffler, A., *Future Shock* (New York: Random House, 1970).

Figure 33. Social Readjustment Rating Scale (SRRS)

EVENT	UNITS OF STRESS
DEATH OF SPOUSE	100
DIVORCE	73
MARITAL SEPARATION	65
JAIL TERM	63
DEATH OF CLOSE FAMILY MEMBER	63
PERSONAL INJURY OR ILLNESS	53
MARRIAGE	50
FIRED AT WORK	47
MARITAL RECONCILIATION	45
RETIREMENT	45
CHANGE IN HEALTH OF FAMILY MEMBER	44
PREGNANCY	40
SEX DIFFICULTIES	39
GAIN OF NEW FAMILY MEMBER	39
BUSINESS READJUSTMENT	39
CHANGE IN FINANCIAL STATE	38
DEATH OF CLOSE FRIEND	37
CHANGE TO DIFFERENT LINE OF WORK	36
CHANGE IN NUMBER OF ARGUMENTS WITH SPOUSE	35
MORTGAGE OVER \$200,000	31
FORECLOSURE OF MORTGAGE OF LOAN	30
CHANGE IN RESPONSIBILITIES AT WORK	29
SON OR DAUGHTER LEAVING HOME	29
TROUBLE WITH IN-LAWS	29
OUTSTANDING PERSONAL ACHIEVEMENT	28
WIFE BEGINS OR STOPS WORK	26
BEGIN OR END SCHOOL	26
CHANGE IN LIVING CONDITIONS	25
REVISION OF PERSONAL HABITS	24
TROUBLE WITH BOSS	23
CHANGE IN WORK HOURS OR CONDITIONS	20
CHANGE IN RESIDENCE	20
CHANGE IN SCHOOLS	20
CHANGE IN RECREATION	19
CHANGE IN CHURCH ACTIVITIES	19
CHANGE IN SOCIAL ACTIVITIES	18
MORTGAGE OR LOAN LESS THAN \$200,000	17
CHANGE IN SLEEPING HABITS	16
CHANGE IN NUMBER OF FAMILY GET-TOGETHERS	15
CHANGE IN EATING HABITS	15
VACATION	13
CHRISTMAS	12
MINOR VIOLATIONS OF THE LAW	11

A group of stress researchers provided some evidence in support of the stressful consequences of change. Thomas Holmes and Richard Rahe developed the scale shown above in Figure 33, known as the Social Readjustment Rating Scale (SRRS), to measure the

impact of different events or life changes.³² The SRRS is scaled in Life Change Units (LCU) from 0 to 100. Studies using the SRRS have shown correlations between physical and emotional difficulties and LCU scores. Significant relationships between life change stress and heart disease, occurrence of bone fractures, and even the onset of leukemia in children have led researchers to conclude that a high level of change in one's life is a necessary but not a sufficient cause of illness and accounts, in part, for the beginning of the disease process.³³ Scores above 300 LCU's in a one-year period constitute a major life crisis and are highly correlated with the onset of major problems within the next two years. For example, in a study of Navy and Marine personnel, LCU scores predicted visits to sick-bay while on cruise. Higher LCU (stress) scores were also associated with greater job dissatisfaction for the participants in that study.³⁴

More recently, students of stress have questioned whether the effects of change in one's life are always harmful.³⁵ Changes may not always be disruptive and stressful in an adverse way. Divorce and death of a spouse are the two most stressful changes on the SRRS, probably because the loss of a lifelong companion represents the loss of a major social support. But suppose the marriage was a bad one in which both partners would have been better off without each other? What if being fired was followed by relief over no longer having to tolerate a work situation that had never been very satisfying? What if increased responsibilities were just what a young executive needed to reassure him that he was becoming more successful and that chances of further promotions were good? All of these questions suggest that the effect of a life change depends on the person undergoing the change and the circumstances surrounding it. In other words, how the situation affects a person also may depend upon factors within that person as well as the nature of the situation itself.

Personality and Stress. Earlier students of stress assumed that the personal characteristics of an individual were important determinants of the level of stress—even its presence or absence. Under the influence of Freudian psychology and personality theorists, attempts were made to identify personality traits or dimensions that could make a person more or less susceptible to stress. However, such attempts did not prove very successful, probably because of the importance of the situation and its effect on the behavior of a particular person. More psychologists now hold the view that to the extent that individual traits do exist, they are certainly affected by situational factors.

Despite such issues, research continues in an attempt to identify personality dimensions that relate to stress. There is evidence that some people may be predisposed to overreach physiologically in stressful situations. Under prolonged stress, of course, such people would be more likely to develop serious stress-related disorders or Selye's diseases of adaptation.

³² Holmes, T.H., & R.H. Rahe, "The Social Readjustment Rating Scale," *Journal of Psychosomatic Research*, (1967), 11, pp. 213-218. (Reprinted by permission, Pergamon Press, Ltd.)

³³ Holmes, T.H. & M. Masuda, "Life Change and Illness Susceptibility," in *Stressful life events: Their nature and effects*, eds. B.S. Dohrenwend & B.P. Dohrenwend (New York: Wiley, 1974).

³⁴ Rahe, R.H., E.K.E. Gunderson, & R.J. Arthur, *Demographic and Psychosocial Factors in Acute Illness Reporting*, Navy Medical Neuropsychiatric Research Unit Report, No. 69-35 (San Diego, CA, 1969).

³⁵ Vinokur, A. & M.L. Selzer, "Desirable Versus Undesirable Life Events: Their Relationship to Stress and Mental Distress," *Journal of Personality and Social Psychology*, (1975), 33, pp. 115-122.

One currently popular approach to identifying individual factors that might make people more or less susceptible to stress refers to Type A and Type B personalities. Although these types are referred to as “personalities,” they really refer to characteristic patterns of behavior. Type A people are characterized by feelings of urgency, sensitivity to external demands, high striving for achievement, impatience, competitive drive, and abruptness in speech and manner. The behavior of Type B people is less competitive and less intense in their approach to work and life.³⁶ What is interesting is that Type A’s are statistically much more prone to develop heart disease than are Type B’s. It is not clear, however, whether it is the conditions under which Type A’s work that produce their coronary-prone behavior pattern or whether Type A’s choose more stressful work and social environments because of their personality.

What are the consequences for the organization of having Type A leaders? How do Type A’s affect the stress experienced by their followers? If Type A’s, despite their seemingly desirable hard working and intensely competitive characteristics, are more prone to severe stress reactions and may produce stress in others, should organizations seek to fill leadership positions with Type A people? These are questions yet to be answered by research. (You may be interested at this point to determine your own personality type as it relates to stress. Figure 34 presents a Type A Behavior Quiz used in research for that purpose. At the bottom is the key that identifies your behavior type).³⁷

Another individual variable that has been studied is the relationship between stress and life stage of development. The concept of life stage, introduced in Individual Differences, may affect susceptibility to job stress or how much internally generated psychological stress is experienced. For example, recall that a mid-career crisis, during which a person reexamines career aspirations in relation to career prospects, usually occurs around ages 40-45. The realization that we may not rise all the way to the top or that we may have already gone as far as we will ever go can have serious and stressful consequences. Developmental stages are also associated with changes in home life. Starting a family or putting the last child through college are important events, having effects that may carry over into work due to the life changes they cause.

An Interactive Model of Stress. Clearly, there are several different approaches to understanding stress and its effects. No approach mentioned thus far is entirely satisfactory. Is there something about high-status, well-paying jobs such as those of executives in large corporations that makes some executives thrive and others develop ulcers or even commit suicide? Why does one soldier throw down his weapon and flee in combat while another fiercely charges an enemy machine gun? Obviously, the same situation can evoke different responses in different people. How can we satisfactorily take into account the effects of the situation as well as the characteristics of the individual in the study of stress? Whether stress is produced in a given situation involving a particular individual may depend upon the outcome of a dynamic process in which the individual and the situation both play key roles. That is, stress may arise as the result of an interaction between the person and the environment.

³⁶ Friedman, M., & R.E. Rosenman, *Type A Behavior and Your Heart* (New York: Knopf, 1974).

³⁷ Boatner, R.W., “A Short Rating Scale as a Potential Measure of Pattern A Behavior,” *Journal of Chronic Diseases*, (1969), 22, pp.87-91 (Reprinted by permission, Pergamon Press, Ltd.)

Figure 34. Type A Behavior Quiz

To find out which type you are, circle the number on the scale below that best characterizes your behavior for each trait.

- | | | |
|---|-----------------|---|
| 1. CASUAL ABOUT APPOINTMENTS | 1 2 3 4 5 6 7 8 | NEVER LATE |
| 2. NOT COMPETITIVE | 1 2 3 4 5 6 7 8 | VERY COMPETITIVE |
| 3. NEVER FEELS RUSHED EVEN UNDER PRESSURE | 1 2 3 4 5 6 7 8 | ALWAYS RUSHED |
| 4. TAKE THINGS ONE AT A TIME | 1 2 3 4 5 6 7 8 | TRIES TO DO MANY THINGS AT ONCE; THINKS ABOUT WHAT HE IS GOING TO DO NEXT |
| 5. SLOW DOING THINGS | 1 2 3 4 5 6 7 8 | FAST (EATING, WALKING, ETC.) |
| 6. SITS ON FEELINGS | 1 2 3 4 5 6 7 8 | EXPRESSES FEELINGS |
| 7. MANY INTERESTS | 1 2 3 4 5 6 7 8 | FEW INTERESTS OUTSIDE WORK |

TOTAL YOUR SCORE: _____ AND MULTIPLY IT BY 3: _____

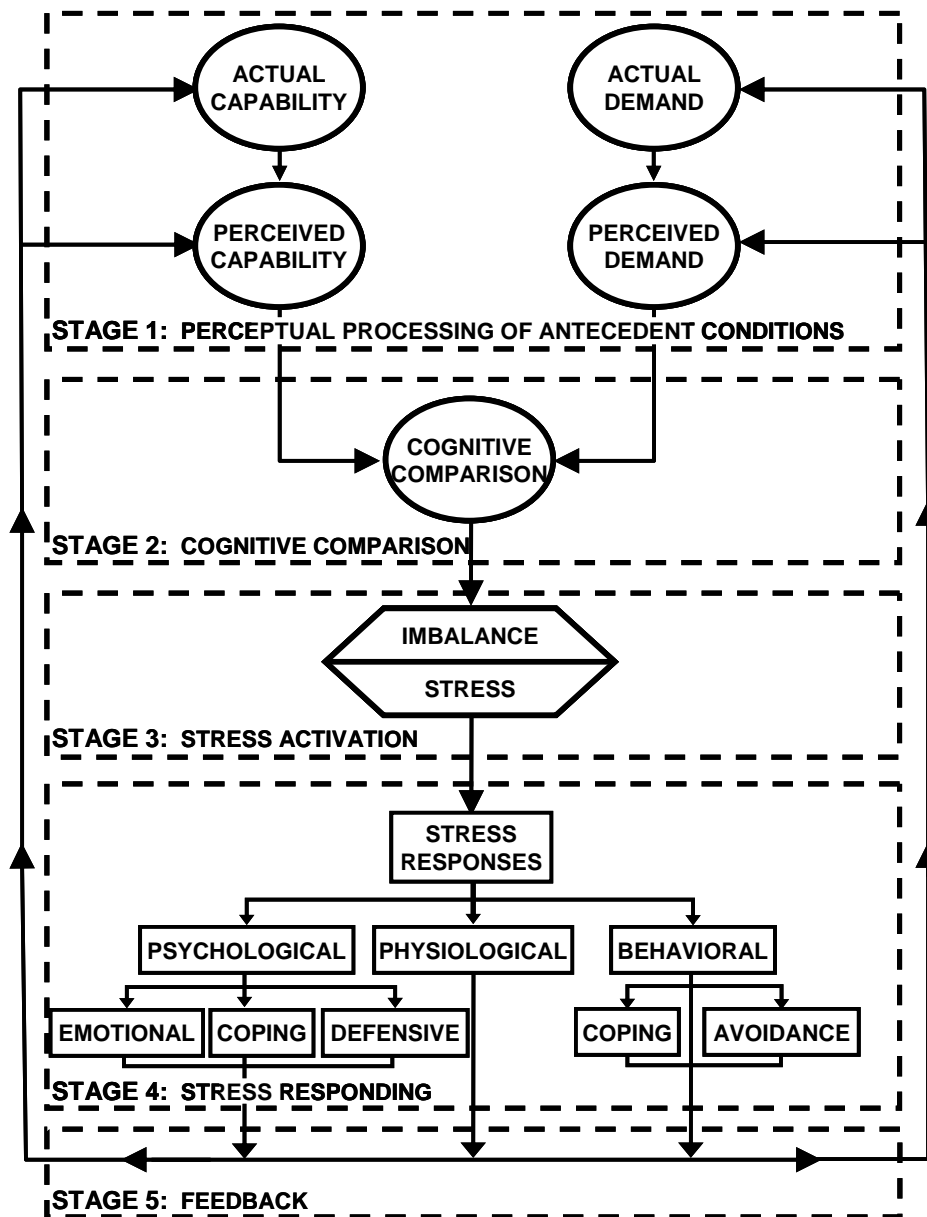
A+	120 OR MORE
A	106 TO 119
A-	100 TO 105
B+	90 TO 99
B	LESS THAN 90
TYPE OF PERSONALITY	NUMBER OF POINTS
KEY:	

In this approach, stress is thought to arise as a result of several stages of an interactive process. In the first stage of this process, some demand or situation confronts the individual, who in turn reacts to the demand by employing psychological processes such as perception, memory, learning, judgment, and thought. The perceived demand is then compared with the person's perception of his or her own capability to deal with the situation. If the demand is seen as unequal to the individual's capability to handle it, the resulting imbalance may give rise to the experience of physiological responses, psychological reactions, and observable behaviors previously discussed. Also, there also are usually feedback effects that influence later episodes of the cycle just described.

With the help of Figure 35, we can more closely examine the stages in the interaction between the individual and the environment. During Stage 1, a demand is placed on the

individual. This demand may be in the external physical or social environment or it may be an internal, self-generated demand. For example, a boss who demands that the work group reach high standards establishes an external demand. A person's own need for achievement may lead to self-imposed or internal demands. Corresponding to a demand is the individual's actual capability to meet the demand. Actual demands and capabilities are perceived and assessed by the individual. What determines how we perceive demands and capabilities? As discussed in Lesson 3, people are different in terms of past learning, the way they see themselves, their tendency to believe that they can influence things or not, and other psychological ways. Such factors combine to influence and produce the outcomes of Stage 1—a perceived demand and a perceived capability.

Figure 35. Person-Situation Interaction Model of Stress



In Stage 2, the individual weighs these perceptions of demand and capability through what we will call a cognitive comparison. If, as a result of this comparison process, perceived demands are greater than perceived capabilities, an imbalance exists that gives rise to the activation of stress. If perceived demands are equal to perceived capabilities, a balanced condition exists, and stress is not activated. The third combination, in which perceived demands are less than perceived capabilities, also results in an imbalance or underload that is also important for the leader to consider.

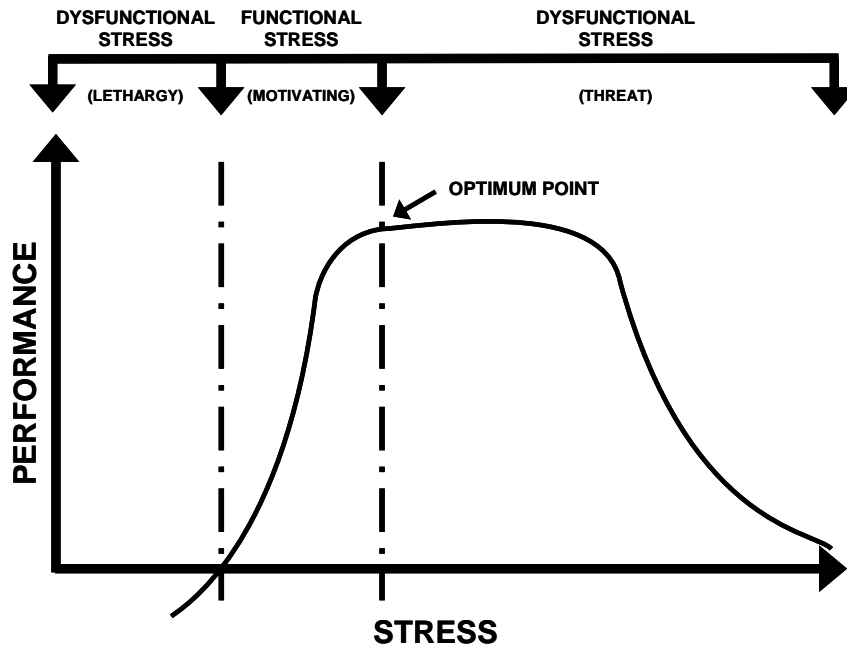
The imbalance that gives rise to stress in Stage 3, the Stress Activation Stage, may develop in varying degrees. For instance, if there is a moderate gap between the perceived demand and perceived capability, a condition of functional stress exists. It is functional because it has a motivating effect on behavior and leads to increased performance—up to a point. When the imbalance between perceived demands and perceived capabilities is too great, the individual is threatened and may begin to feel in danger of being psychologically overwhelmed or physically harmed. When this degree of stress is activated, it becomes dysfunctional. Dysfunctional stress either does not increase performance or worse, causes a drop in performance because of its disorganizing effect on behavior. Dysfunctional stress may also put the individual into a prolonged Resistance Stage or even into the Exhaustion Stage, leading to an excessive level of stress responses in the next stage of Figure 35. Can you explain this same phenomenon using Expectancy Theory? The distinction between functional and dysfunctional stress is an important one when we consider the relationship between stress and performance. This relationship is diagrammed in Figure 36. From this inverted U relationship we can see that functional stress results in improved performance, while dysfunctional stress does not increase performance and eventually is detrimental to performance.

If the cognitive comparison in Stage 2 results in an imbalance that activates stress in Stage 3, any combination of the several response systems shown in Stage 4 may become involved. Physiologically, a person may respond in several ways that have already been described. The arousal produced by the activation of the sympathetic nervous system can lead to a variety of physiological responses such as sweating and increased heart rate. One study shows, contrary to Selye, that people are all slightly different because they have typical individual physiological response patterns.³⁸ Thus, some may experience stress physiologically more in their digestive system through acid indigestion; others may experience increased physiological effects more in the cardiovascular system due to increased heart rate. What kind of long-term symptoms would each of these specific reactions most likely produce?

Along with physiological responses, people also experience psychological responses when stress is activated. These psychological responses may take three basic forms. People may experience emotions such as fear, anger, or depression or may engage in either psychological coping or defensive responses. For example, have you ever thought to yourself while studying for an exam, “This won’t be so hard if I really buckle down and do a few practice problems?” Perhaps you have also told yourself in a similar situation that you “really didn’t need an ‘A’ in this course and besides, no matter how hard you study, the professor grades so hard no one is going to get a high grade.” These are, respectively, examples of coping and defensive psychological responses.

³⁸ Lacey, J.L., “Somatic Response Patterning and Stress: Some Revisions of Activation Theory,” in *Psychological Stress*, eds. M.H. Appley & R. Trumbell (New York: Appleton-Century-Crofts, 1967).

Figure 36. The Stress-Performance Relationship



In addition to psychological and physiological responses (that may not be observable to others), people engage in observable behavior under conditions of stress. That is, they go beyond thinking about an exam and actually sit down and study (coping behavior). Or they may give in to the temptation to avoid the stressful situation, and thereby relieve the stress by going to a movie (avoidance behavior) rather than studying.

In Stage 5, all three types of stress responses feed back into the demands and capabilities (Stage 1) and influence how the individual handles future stress situations. If a person has been successful in managing a previous stressful situation, he or she may modify the perception of actual capability, actual demand, or both. In the case where a person has successfully coped (for example, preparing for a briefing that is well received), the feedback from others as well as the individual's own appraisal of the event should lead to an increase in both actual and perceived capability. The actual ability to make an oral presentation has been enhanced through practice, while the perception of capability has been increased through knowledge of the results. Similarly, avoiding or coping unsuccessfully may also modify the perceptions of the antecedent conditions (demands and capabilities), usually in a negative way. Actual and perceived demands may be similarly modified through feedback. Solving an unstructured problem and setting up a work routine leads to a change in the actual demand, for example, as well as a reduction in the perceived demand by reducing the task difficulty or uncertainty. This might occur in a newly established office where the office filing system has not been developed.

According to several studies, feedback from the environment appears to be especially important to coping.^{39, 40, 41} Consider, for example, a study conducted on stress with

³⁹ Weiss, J.M., "Effects of coping behavior in different warning signal conditions on stress pathology in rats," *Journal of Comparative and Physiological Psychology*, (1971), 77, pp. 1-13.

laboratory animals. Animals received shocks and some of the animals would receive feedback when they engaged in behaviors to avoid further shocks. The animals that received feedback about the effectiveness of an avoidance response reduced the harmful effects of shock as a stressor (demand) in terms of ulceration. Animals that performed the same response to avoid shock but who received no feedback about the effects of their behavior suffered much higher levels of ulceration, presumably due to the added stress of not having feedback about what worked.

To sum up the interactional approach, stress is the result of a perceptual process in which an external or internal demand is compared with the ability to cope with or meet that demand. An imbalance between perceived demand and perceived capability gives rise to the experience of stress, which is accompanied by subsequent physiological, psychological, or behavioral responses. The effects of stress responses and coping or avoidance behavior feed back into and interact with future stress cycles. How does Figure 35 compare with the concept of the individual as a system presented in Area I? (Now return to the situation of Jim and his recent promotion and see if you can analyze his situation in terms of the interaction model. Using an interactional framework as outlined above, how would you explain Jim's behavior?)

Threat and Threat Appraisal. What triggers an interaction leading to stress as described in the process above? What constitutes a perceived demand? According to Richard Lazarus, a noted stress researcher, threat results when the individual anticipates a confrontation with a potentially harmful situation.⁴² Cues or signals from the environment are evaluated cognitively for their potential to do physical or psychological harm. Thus, in a combat zone the sound of crackling, loud noises would likely be appraised as threatening. On the Fourth of July, the same sounds probably would not be interpreted as threatening (unless perhaps the individual had only recently returned from combat). Events or signals from the environment that are appraised as psychologically or physically threatening become perceived demands. Against such demands, the individual compares perceived capabilities, which begins the stress cycle discussed in the previous section.

It is important to bear in mind that the notion of threat is based upon the anticipation of harm. This is a psychological process. Cues in the present provide information about possible future consequences. In describing the effects of combat on American airmen in World War II, it was observed that one basis for stress in combat is knowing that the longer an individual stays in combat, the more remote the chances are of getting out alive or unharmed.⁴³ It is this increasing probability of the anticipation of injury or death (physical threat) and not combat that leads to the experience of intense stress. In another study, the behavior of graduate students was followed for three months before doctoral examinations and for one month afterward.⁴⁴ The possibility of failure, a psychological threat, represented the potential loss of a career option, humiliation, and loss of status and self-esteem. During the period of anticipation prior to exams, students reported stomachaches, anxiety attacks,

⁴⁰ Weiss, J.M., "Effects of Coping Responses on Stress," *Journal of Comparative and Physiological Psychology*, (1968), 65, pp. 251-60.

⁴¹ Weiss, J.M., "Psychological Factors in Stress and Disease," *Scientific American*, (1974), 226, pp. 104-113.

⁴² Lazarus, R., *Psychological Stress and the Coping Process* (New York: McGraw-Hill, 1966).

⁴³ Grinker, R.R. & J.P. Spiegel, *Men Under Stress* (New York: McGraw-Hill, 1945).

⁴⁴ Mechanic, D., *Students Under Stress* (New York: The Free Press of Glencoe, 1962).

difficulty in sleeping, problems with appetite, and other reactions. Upon completion of the exams, most reported considerable relief. One explained that “Taking it is not as bad as anticipating it. It’s not nearly so bad.... You don’t have time to worry while you are doing it.”⁴⁵ Thus, the psychological anticipation of an event can be the basis for a stressful experience, even before the actual event occurs.

An interesting paradox may occur when there is little or no time to appraise a situation as threatening. For example, in a sudden highway emergency the driver of a vehicle may have to react without thinking. Thus, there is no anticipation of injury. After making a rapid judgment, the driver swerves, brakes, and somehow manages to avoid an accident while remaining calm, cool, and collected all the while. When the danger has passed, however, the driver may suddenly experience a strong emotional reaction including feelings of apprehension and physiological changes. The driver then may have to struggle to pull himself back together. (Has this ever happened to you? How would you explain this delayed stress reaction?)

Support for the Interactional Approach to Stress. Using corporate executives and Army officers, one group of researchers tested the idea that stress results from an interaction between people and the situations they encounter. In one report, a group of mid-career Army officers was studied to ascertain the level of life change they were experiencing, to examine the effects of this source of stress on illness among these officers, and most importantly, to determine what sort of factors could account for any differences that might appear in the impact of stress on illness in this group.⁴⁶ Using the Social Readjustment Rating Scale (SRRS) discussed earlier, the average stress level in terms of Life Change Unit (LCU) scores for the preceding 12 months was 982.5. According to the norm (300 or more LCU), such scores clearly represent a major life crisis for most Army officers tested. As reported in a similar study, the average LCU score for a group of business executives in a large communications corporation was 399.0.⁴⁷ Thus, the stress experienced by Army officers was more than twice that experienced by civilians at a similar level. The most frequent life changes for the Army officers in this study were change in residence, transfer to a new job, and gaining a new supervisor. Other events (having high value on the SRRS) reported at least fifteen times were marital separation, sexual difficulties, and change in financial situation. The frequency of illness was also measured for both groups and was found to be less in the Army officers than in the business executives.

If change was a stressful demand for some Army officers (leading to illness), but not for others, what psychological factors might influence the results? In general, it was found that officers who were more committed to their career, who had a high sense of control over their lives, and who were highly motivated to achieve were less likely to show the relationship between stress and illness than were those with the opposite characteristics. The same was true for officers who were low in orientation toward security and need for cognitive structure when compared with those who desired security and who were more psychologically rigid. In sum, for those individuals who see change as an opportunity rather

⁴⁵ *Ibid.*, pp. 162-163.

⁴⁶ Kobasa, S.C., “Stress, Personality, and Health in a Group of Army Officers,” Paper presented at the Sixth Psychology Symposium in the Dept. of Defense, Colorado Springs, April 1978.

⁴⁷ Kobasa, S.C., R.R.J. Hilker, & S.R. Maddi, “Remaining Healthy in the Encounter with Stress,” Proceedings of the 37th American Medical Association Congress on Occupational Health, 1977.

than a threat and for those who are more flexible in their ways of viewing life, change may be accompanied by less stress than for those who view change from a more rigid perspective. Results such as these lend support to the model shown in Figure 35. Individuals respond to the same types of stressors in different ways depending on psychological factors and social support systems.

Generalizations from Other Stress Research

Although many questions about stress and its consequences for the individual remain unanswered, there are several important generalizations from other stress research that are relevant to our study of stress in relation to organizational leadership. Some of these are presented as the following propositions:⁴⁸

Proposition 1. “Stress is in the eye of the beholder.” The experience of stress is subjective and depends not just upon the situation or external environment but also on the outcome of a cognitive comparison between the perception of a situation as psychologically or physically threatening and the perceived ability to cope. Individuals differ in their perception of similar situations. Put another way, “One person’s stress or threat is another’s challenge.” This is the essence of the process depicted in Figure 35.

Proposition 2. “Practice makes better—usually.” Repeated exposure to a situation may alter a person’s perception of its threat potential. “Forewarned is forearmed” may be another way of viewing the effects of practice and exposure to a situation. Using Figure 35, how does practice alter the balance between perceived demand and perceived ability?

Proposition 3. “Nothing succeeds like success and failure fosters future failure.” If experience in dealing with a demand leads to successful coping, that experience will alter perceptions of our capability to cope with similar situations in the future, thus reducing stress and its effects on performance. The experience of failure under stressful conditions leads to an increased likelihood of future failure and perhaps even greater harmful stress effects on subsequent occasions. Using the interaction between the person and the environment presented earlier, how would you elaborate the basis for this proposition? How does this relate to the feedback loops in Figure 35?

Proposition 4. “Stress results from too much of a good thing—or not enough of it!” Recall from Figure 36 that stress and performance are related in the shape of an inverted U and not in a linear fashion. In other words, up to a point an increase in stress leads to an increase in performance. Beyond that point, additional stress does not increase performance and eventually interferes with performance. This is a very complex area and its generality is dependent to some extent upon Proposition 1. The optimal level of stressful stimulation will change for a given individual as a function of time, life cycle stage of development, state of the person (e.g., health), and past experience or learning. However, as we learned earlier, stress can be either functional (motivating) or dysfunctional (threatening). What is the

⁴⁸ McGrath, J.E. ed., *Social and Psychological Factors in Stress* (New York: Holt, Rinehart & Winston, Inc., 1970).

significance of this proposition for the organizational leader? It is the starting point in a program of stress management.

Proposition 5. “We can’t live with people—and we can’t live without them” (or lead without followers!). Other people can be significant sources of stress, particularly when they affect our work and social roles. Stress may result from a task, but how much stress a task produces may depend on the other people with whom we work to accomplish the job and the extent to which our roles are clear and free of conflict.

Organizations and Job-Related Stress

Organizations, by their very nature, create conditions that cause stress for their members and particularly for the leaders. How does stress arise in an organizational context? Organizational members at all levels bring stress to the job from their home life and other non work-related activities. If children are ill, a spouse has threatened to leave, or a feeling of guilt prevails over leaving children in a day-care center, the effects may carry over to job performance. In addition to these important stress-producing conditions, there are specific demands that arise on the job that lead to stress. A number of these job-related factors have been identified.

Nature of the Task

What we do on the job may be a difficult, demanding, and stressful activity in itself. This is self-evident in cases involving the threat of physical harm, such as the policeman patrolling a beat in the Bronx, a fireman in the inner city of Detroit, or a soldier on any battlefield throughout history. Some jobs, such as emergency dispatches or air traffic controllers, have a high degree of responsibility inherent in their work that is stressful in a psychological way.

At Chicago’s O’Hare Airport (and undoubtedly at other busy airports around the world), air traffic controllers have to process an extremely high volume of air traffic, as many as 220 takeoffs and landings per hour. This condition is known as task overload, with stressful consequences that can be devastating. One researcher reported that high blood pressure was four times more common among air traffic controllers than in a comparison group.⁴⁹ Controllers also suffered ulcers at a frequency twice as high as a control group.

At the other end of the spectrum, boredom or underutilization also leads to harmful effects. Assembly line workers do not work long hours, do not put in unwanted overtime, don’t have to concentrate much on their work, and have little responsibility for their activities. Yet, in a major study of job stress, these workers experienced the greatest incidence of stress-related disorders and reported the most dissatisfaction with work.⁵⁰ (In terms of the stress model in Figure 35, how would you explain such results?)

⁴⁹ Martindale, D., “Torment in the Tower,” in *Chicago* (April 1976), pp. 96-101.

⁵⁰ Caplan, R.D., S. Cobb, J.R.P. French, Jr., R. Van Harrison, & S.R. Pinneau, *Job Demands and Worker Health: Main Effects and Occupational Differences* (Wash., D.C., U.S. Government Printing Office, 1975).

Work Environment

In addition to the nature of the task, the physical environment may be a source of stress on the job. Work that occurs under extreme climate conditions, noisy environments, or in very close quarters are all potentially stressful physical environments.

The social or interpersonal environment may also produce stress. Some potentially stress-producing aspects of the interpersonal environment are various distortions of roles within the organization and organizational climate (quality of interpersonal relations), conflict resolution mechanisms, privacy, isolation, and social support networks.

Role distortions can produce stress for the organizational member. Vague instructions accompanied by a warning that “the job had better be done right” can produce great stress. This kind of situation may be referred to as role uncertainty or ambiguity. People are sometimes left unsure about their responsibilities, the scope of their duties, or how they will be evaluated. It is difficult to perceive demands accurately under conditions of role uncertainty. Another role distortion is called role conflict. For instance, conflicts created by demand expectations on a person as a father/husband or mother/wife and employee can create great stress. Or the classic role conflict for the organizational leader, of course, arises out of the often conflicting expectations of the leader’s followers and the leader’s boss. Recall from the Model of Organizational Leadership that, depending upon the level in the organization, the leader is simultaneously a leader, follower, and peer. Each group may have conflicting views of what the person who fills these three different roles should be trying to do. The result is often stress for the leader.

Studies of role-based stress have found evidence of its effects among organizational members.⁵¹ Five out of six males in the national labor force experience role-based stress according to research reports. Those in high conflict roles have more internal (psychological) conflicts, report reduced job satisfaction, and most importantly for the leader, decreased confidence in the organization and its leadership. When role stress is experienced, followers report less trust, liking, and respect for leaders who created this stress. Followers also attribute less power to such leaders and withdraw or reduce communications with them. Role uncertainty and ambiguity lead to similar consequences.

Organizational Structure

Role uncertainty and role conflict may be affected by organizational structure. This refers to the number and quality of relationships that exist within the organization, the rules and procedures, the organizational hierarchy or chain of command, the availability and effectiveness of communications networks, and the formal organizational relationships reflected in an organizational diagram. Ambiguity or uncertainty about who the boss is, overly rigid rules, ineffective organizational communications, and a high degree of control and surveillance by supervisors are all structural conditions that might increase stress in organizational members.

⁵¹ Kahn, R.L., D.M. Wolfe, R.P. Quinn, J.D. Snoek, & R.A. Roenthal, *Organizational Stress: Studies in Role Conflict and Ambiguity* (New York: Wiley, 1964).

Organizational Socialization

As we learned in Lesson 13 on Socialization, many organizations have formal and often extensive programs designed to bring new people on board. New members learn how the organization expects them to act, what aspects of the job are important, and what the organizational values are. Even if there is no formal program to accomplish socialization, informal processes will always exist to teach newcomers the ropes, or the group's behavioral norms. The period of initial entry and socialization is inherently stressful because of the change experienced by people coming into the organization. However, at this point it may be worthwhile to examine the nature of stress during the formal socialization of new organizational members when such programs are part of the organizational processes.

There appear to be important links between different levels and kinds of stress during entry into the organization and longer-term organizational interests such as commitment, job performance, satisfaction, and turnover. Studying military and police training programs, the results help to understand the stress produced within the process of organizational socialization. Such stress is to a large extent under the influence of organizational leaders and therefore, a key to effective stress management.

One assumption that often governs formal socialization in the military and police training programs is that under high stress conditions, the individual is more susceptible to influence by the organization. Consider, for example, the following scientific data on stress levels in Army basic training. In a series of studies, psychological stress was measured and reported for males undergoing Army basic training at two different bases.^{52, 53, 54, 55} Over time, the characteristic adjustment to stress shown in Figure 37 was repeatedly produced among different trainees in training centers on opposite coasts of the country (Ft. Ord, CA and Ft. Dix, NJ). High levels of psychological responses to stress consisting of anxiety, hostility, and depression are found within the training environment.⁵⁶

The levels of psychological stress and the patterns of stress over time are different in basic training from those reported under combat conditions using the same instrument. During the Vietnam War, medical aidmen flying dangerous helicopter rescue missions and Special Forces soldiers awaiting an attack on an isolated outpost reported considerably lower levels of psychological responses to stress than recruits during basic training.^{57, 58} The researchers explained this difference by noting that the dangers of combat may be psychologically less damaging than the psychological dangers to one's identity and sense of self that occur in basic training. In addition, the combination of strong group support and leaders who work to reduce the stress of combat are strong forces that differ from basic

⁵² Datel, W.E., C.F. Gieseking, E.O. Engle, & M.J. Dougher, "Affect Levels in a Platoon of Basic Trainees," *Psychological Reports*, (1966), 18, pp. 271-285.

⁵³ Datel, W.E., & E.O. Engle, "Affect Levels in Another Platoon of Basic Trainees," *Psychological Reports*, (1966), 19, pp. 407-412.

⁵⁴ *Ibid.*, pp. 903-909.

⁵⁵ Datel, W.E., & S.T. Lifrak, "Expectations, Affect Change, and Military Performance in the Army Recruit," *Psychological Reports*, (1969), 24, pp. 855-879.

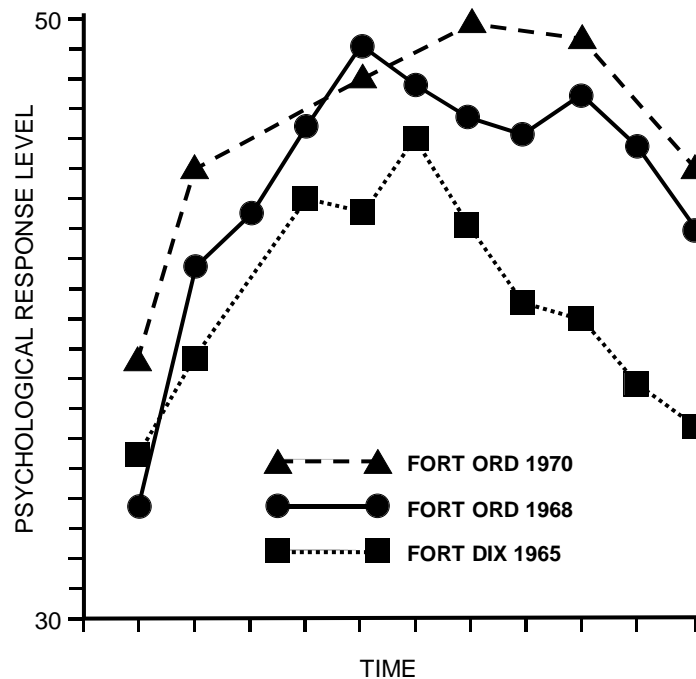
⁵⁶ Datel, W., & L. Legters, "The Psychology of the Army Recruit," *Journal of Biological Psychology*, (1970-71), pp. 2, 12, pp.34-40.

⁵⁷ Bourne, P., W. Coli, & W. Datel, "Anxiety Levels of Six Helicopter Ambulance Medics in a Combat Zone," *Psychological Reports*, (1966), 19, pp. 821-822.

⁵⁸ Bourne, P., W. Coli, & W. Datel, "Affect Levels of Ten Special Forces Soldiers Under Threat of Attack," *Psychological Reports*, (1968), 22, pp. 363-366.

training. In traditional entry-level training, the leader has often deliberately produced stress by attacking the trainee's sense of worth, making the trainee dependent and psychologically vulnerable, and providing minimal support. Whether this is the best way to apply stress during initial training is a serious question for the leader in the role of stress manager.

Figure 37. Psychological Stress Symptoms in Army Basic Training



The long-term effects of the intense and prolonged stress that new members of the armed forces experience early in the organizational life have not been systematically studied within the full period of military service. One unusual study, however, provides useful insights into the long-term effects of different levels and kinds of stress during initial socialization in a large police academy.⁵⁹ Two approaches to police training, one that resembled boot camp basic training and one that emphasized more job-related performance training, were compared. Both approaches were stressful but in different ways. A two-year assessment of the two training approaches was made in terms of several outcomes that are important to the organization. Graduates of the training program that was not run like boot camp performed significantly better, reported greater job satisfaction, and were rated higher in terms of living up to organizational expectations. The implications of this study for

⁵⁹ Earle, H., "An Investigation of Authoritarian Versus Nonauthoritarian Training in the Selection and Training of Law Enforcement Officers," Unpublished dissertation, 72-21, 667, University Microfilms, Ann Arbor, Mich., 1972.

effective management of stress during initial socialization into the organization are significant.

Awareness of the nature of stress—how it arises, its physiological, psychological, and behavioral consequences within an organization—provides the necessary background for the organizational leader who must be concerned with the effects of stress on individuals in the organization and the effectiveness of the organization in meeting its goals.

Having closely examined the structure and nature of stress, let's look at an article written by noted police psychologist, Dr. Kevin Gilmartin. In the article he describes the stress of police work. As you read, please note the similarities between Dr. Gilmartin's work and the material you've just finished reading.

THE STRESS OF POLICING: A SPECIAL CASE

Gilmartin, Kevin M., Ph.D., "The Brotherhood of Biochemistry: Its Implications for a Police Career," published in *Understanding Human Behavior for Effective Police Work*, H.E. Russell and A. Beigel, Third Edition, Basic Books, Inc., New York, 1990. Reprinted with permission of the publisher.

As the field of behavioral sciences has grown over the past decades, significant attention has been given to the study of the stressful effects of life as law enforcement officers. The main theme of these studies concerning police stress revolves around two major approaches. The first approach points out the stress reaction and its potential long-term effects. This involves educating police officers about the stress reaction and revolves around Hans Selye's concept of the general adaptation syndrome (GAS; the physiological processes through which the body attempts to adapt to ever changing challenges). The second major approach in teaching law enforcement officers about stress is to present a list of potential stressors or events that precipitate the stress reaction. This list usually becomes somewhat a litany of the daily negative events that officers are exposed to, such as the inhumanity of man toward his fellow man, the inefficiencies of the criminal justice system, sedentary life-style, poor nutritional habits, and so on. While this information is indeed valuable, it appears to miss the major concept of the stress reaction for law enforcement officers. It points out stress as a negative event to be avoided. But in reality, most officers find that in the beginning years of their career, experiencing this stress reaction in mild dosages makes the career exciting and very attractive.

If you asked a large number of law enforcement officers why they stayed with their career, you would probably hear such answers as "Cop work gets in your blood." "It's exciting and a different thing to do each day." "I couldn't stand just working behind a desk," and so on. However, what attracts law enforcement applicants and young cops to the job in the first half of a police career may be their undoing when the novelty has worn off. When police officers state that "cop work gets in your blood," they may unknowingly be describing a very potent physiological change that all police officers experience when first approaching their job. This physiological change appears to be so entrenched in the police role that it might be impossible to separate this physiological change from the role itself. It has been said that police work creates a brotherhood. Today this brotherhood is not exclusively a male domain, but it is a closed social unit that extends membership only to other cops. Cops may not understand the procedures, equipment, or geographical terrain in which other officers perform their duties, but they certainly understand the physiological sensations involved in the job. For example, a cop from Maine and a cop from California accidentally meet in O'Hare Airport and start sharing experiences and telling "war stories." Each officer might have difficulties visualizing the external events taking place in the narrative told by the other (the setting, temperature, type of community the call took place in, and so on), but he or she would have no difficulty in understanding the "internal environment" of the call: how it felt to work that particular call—the physiology of the call. The brotherhood of police is actually

a “brotherhood of biochemistry.” Cops understand how other cops feel in similar situations because “they’ve been there.” They’ve experienced similar physiological sensations, and they’ve made critical decisions in these physiological states. The physiological sensations cops experience on the street are characteristic of the stress reaction. Without these sensations, police work would not be as attractive to young cops. In fact, they might find it boring and mundane.

Hypervigilance

Consider how the police role is developed in young cops. It begins with the manner in which law enforcement officers are required to view the world. If you take cops in Anytown, USA, and put them behind the wheel of a patrol unit, they are required to view the streets and the community from a different perspective than citizen drivers. Cops realize that “I better pay attention out here! I could get my butt kicked or get somebody else or myself killed if I’m not paying attention!” This reality forces young officers to take a different view of the world from civilians. When viewing the world while in this new work role, officers experience a new physiological sensation, an increase in alertness, an increased sensation of energy and aliveness. This new perceptual style goes beyond just “paying attention.” It includes looking, and watching sections of the community that other people would ignore or consider neutral. In the interest of their own safety, officers have to view all encounters as potentially lethal. This newfound perceptual style, with its emphasis on officer safety, carries with it a parallel physiological and psychological state. As mentioned previously, young officers feel increased sensations of energy, aliveness, and alertness. They find themselves becoming quick-witted in the presence of fellow street cops. Friendships develop quickly, and camaraderie is intensified among people with whom they share potential jeopardy. During the developmental years, young officers experience firsthand the physiological stress reaction, but it is not seen as a negative reaction. On duty, the associated sensation of physiological intensity is viewed as pleasant and enjoyable. They find their job so attractive that it is difficult to leave at the end of a shift. What is unwittingly taking place is that young officers are developing an on-duty style of hypervigilance. This style, though necessary for the survival of law enforcement officers, often leads to the long-term destruction of an effective personal life. Officers go on duty, experience increased energy, alertness, quick-wittedness, and camaraderie, and enjoy their tour. However, for every action there is an equal and opposite reaction. Officers who experience an on-duty physiological “high” find that when they get off duty and return home, this hypervigilant reaction stops, as they literally plunge into the opposite reactions of detachment, exhaustion, apathy, and isolation. Thus, officers experience the police stress reaction, an emotional ride on a biological roller coaster.

The “biological” roller coaster describes the extreme psycho physiological swings that police officers experience on a daily basis. One can assume that average citizens live on a more even keel, but police officers are denied this stability. Because of the degree of emotional intensity of law enforcement, the increased sensations of alertness required while on duty, followed by reactions of an equal magnitude in the opposite directions while off duty the police officer’s life is characterized by the extremes of highs and lows. This pendulum-like swing occurs daily. Going to work initiates an increased sensation of involvement, energy, and alertness, coming home, a sensation of apathy, detachment and boredom. The biological reason this roller coaster takes place lies in the autonomic nervous

system that controls all the body's automatic processes: heart rate, blood pressure, body temperature, and so on. The autonomic nervous system has two branches that act in tandem. The sympathetic branch alerts the body to potentially intense situations, causing increased alertness, awareness, and the "fight or flight reaction" (like taking a bunch of "uppers"). The Parasympathetic branch controls the body's quiescent or peaceful counter-reactions (like a bunch of "downers"). This biological roller coaster cycles daily for young officers in the first years of their careers as they polish police skills. It produces high-activity, highly involved police officers, but leaves them with under involved, apathetic personal lives. It can be said in no uncertain terms that the first victims of this biological roller coaster are not the officers themselves, but their families. The officers alternate between being "Heat Seekers" at work, where the more intense the call, the more they're drawn to it, and being "couch potatoes at home. Once the police role is unplugged, there remains only a listless detachment from anything related to a personal life.

The "couch potato" phase of the biological roller coaster can be documented easily by interviewing police spouses during the first decade of the officer's career. Although the faces and names change the stories remain almost identical.

"She's different now that she's a cop. We used to do so many things together, but now she gets off duty and I can't even speak to her."

"He comes home from work, collapses on the couch, turns on the television set. I can talk to him for five minutes and he doesn't even hear me."

"You know, we drove 150 miles last weekend to go visit my mom and dad. I don't think she said two words to me on the whole trip."

"We walk through the mall on his days off and he barely grunts to me, but then he sees two or three of his buddies working off-duty and you can't shut him up. 'Hey, what happened last night? Did you guys arrest that asshole? I heard you come up on the air.'"

As officers begin experiencing the biological roller-coaster ride, they begin heavily investing in the police role. Their family and personal relationships become thin, frazzled, and very fragile. The police spouse laments, "I don't know how much longer I can keep this family together. He comes home angry every night: 'Everybody on earth is an asshole.'"

"I swear she'd rather be at work than at home. She starts getting ready for work two hours before she has to be there. Sometimes I think she's married to the job and not to me."

The police family begins reverberating with this biological roller coaster. Police officers' life-styles change drastically.

These elevated sensations while on duty are necessary. Officers do not have the luxury of viewing the world as primarily peaceful and benign. Officers' very existence depends on their being able to perceive situations from the perceptual set of hypervigilance. They must interpret aspects of their environment as potentially lethal what other members of society see as unimportant. Without hypervigilance, police officers would be seen as "not good cops." However, the tragedy is that while law enforcement officers are trained to react during the upper phase of the biological roller coaster, there has been very little training done or education provided on how to adapt to or avoid the pitfalls of the bottom half of the ride. In the first decade of a police career, the valleys of the roller-coaster ride destroy the emotional support systems and the family support systems; systems that will become increasingly important if officers are to survive the second half of a police career.

Social Isolation

Unknowingly, law enforcement officers begin cycling around this roller coaster. Work becomes increasingly attractive, relationships and friendships occurring on-duty become highly intense, while old relationships that existed prior to becoming a cop are dropped or are maintained only minimally.

For decades, law enforcement officers have deluded themselves concerning this letting loose of old friendships by rationalizations, such as “Only other cops can understand me” and “Everybody else just wants to tell me about that cop who gave him a ticket.” However, in reality, young cops often get together and talk about the job and to share “war stories.” These gatherings vicariously return officers to the elevated highs of the biological roller coaster. Speaking to the schoolteacher next door or the welder who used to be your friend is “not exciting.” Young heat-seeking cops love to tell “war stories” and hear them from others. Through such dialogues, roller coaster valleys are avoided, and “cop talk” returns officers to the elevated reaches of energy and alertness, and draws them back into the “brotherhood of biochemistry.” The sharing of war stories amounts to little more than “adrenal masturbation.”

Young officers become very comfortable only with other police officers, their social isolation from other aspects and relationships in their lives increases, and they become comfortable only within the sphere of this hypervigilant, narrow police-role they all share. Here’s how social isolation develops.

At the start of their careers, young cops believe that the world is divided into “good people” and “bad people.” The socialization pattern of the police academy soon has the officers redesigning this dichotomy to “good people” (cops) and “other people.” The “other people” soon become “assholes.” Young officers begin seeing the world as just cops and “assholes,” but soon have a rude awakening when they find that veteran cops sometimes refer to officers from other agencies as “assholes.” The social isolation pattern deepens. Now the world is divided into “cops in their department” and “assholes.” Social isolation continues to narrow until it’s “uniform cops in my district or precinct on swing shift;” everybody else is an “asshole.” After a few years, the average cop concludes, “It’s me and my partner” and the rest of you are “assholes.” Eventually he says, “I’m not so sure about my partner. Sometimes he can be a real asshole.”

The longer people are cops, the more unconsciously reactive they become to situations in which they do not feel completely comfortable. The physiological sensation of being in potential jeopardy is experienced in the abdominal area, triggered by a branch of the tenth cranial nerve: the vagus nerve. When cops experience this physiological sensation while dealing with another person, it’s easy to project negative values onto the other person immediately and label him or her an “asshole.” If asked, cops would probably say, “I just had a gut feeling this guy’s an asshole.” Thus, a defensive physiological reaction designed to permit officers to survive becomes a socially isolating event that threatens officers’ personal emotional survival.

The Lives of Cops

After approximately two years on the job, officers are riding this biological roller coaster daily and consider most of the outside world “assholes.” While these two reactions are going on, however, officers are typically doing their job, have high on-site activity, are enjoying police work, and in many ways, although still quite naive to the realities of the long-term

effects of a police career, could be experiencing the “golden years” of their own individual law enforcement career. They enjoy going to work, they are highly energized and enthusiastic, enjoy coworkers, and will state “I love my job.” This fragile lifestyle and paranoid way of perceiving the world will typically come crashing down on officers in the not too distant future. Officers find themselves staying away from home for longer and longer periods of time. If the shift ends at midnight, cops realize that once they walk through the doors of their house, the exhaustion, apathy, and bottom half of the roller coaster will hit them hard; unwittingly they spend more time away from home. Younger officers in smaller police departments find themselves going down to the department on their days off just to see what’s happening. The economic realities of police management can be quite exploitative of young cops’ over-invested, biological enthusiasm. Sometimes the hardest thing about managing young cops is not in getting them to come to work but in getting them to go home. Many small police departments actually could not exist without this over-investment by young officers and also by non-reimbursed reserve officers whose only payment is a ride on the biological roller coaster. These officers have over-learned the social perceptual style that comes with assuming a police role. The longer they are cops, the more they interact only with other cops, all learning to see the world in only one manner.

Young officers continue to over-invest in their police role. For the first few years, this over-investment leads to an exciting, enjoyable, dynamic job. Very often, early in their police careers, officers not only isolate themselves from non-police friends, but also overindulge in their professional role by listening to scanners while off duty or on days off. One of the potential hazards of this over-identifying and over-investing in the police role is financial. From the beginning, cops learn the financial realities of a police career: “You’re never gonna get rich being a cop.” Off-duty work can be an extremely seductive lure for many police families. Officers can provide the necessities and a few extra luxuries of life by working an extra two or three shifts per week, either as security at the local shopping mall or doing point control for construction projects. Although the extra cash certainly helps, the additional time away from home spent in the police role continues the officers’ over-investment and leaves little time for them to develop competencies in other social roles and to build a personal life for themselves and their family.

This over-investment in the police role goes beyond justifiable pride in the profession. Officers begin linking their sense of self-worth to the police role in what at first glance appears to be a basically benign sense of pride. However, this creates an intense form of emotional vulnerability for average police officers. When you ask a group of cops who controls their police role, young cops often say, “I do.” The older, wiser cops respond, “I wish I did.”

This link of self-worth to the police role creates a social dynamic that turns many enthusiastic, energized police officers into cynical, recalcitrant employees who resist administrative direction. As their police role is altered by external administrative authorities and the inevitable decline occurs, their sense of self-worth also takes a tumble. Police officers do not control their police role and must admit, upon reflection, that it is controlled by administrative authorities. Not until after the first several years of police work do the realities of this type of administrative control hit home. Then there is a “rude awakening.” This vulnerability is particularly salient to specialized police officers—the narcotics agent, canine officer, or detective in some special assignment

This psychological phenomena (sic) of having your sense of self-worth controlled by other individuals leads to very normal feelings of defensiveness and resistance. This linkage explains why police officers, after the first few years, may grow to resent administrative authority, mainly because they are so vulnerable to the changes that can take place in their police role. This resentment and resistance to administrative control leads to an occupational pseudo-paranoia, in which officers begin making such statements as: “I can handle the assholes on the street but I can’t handle the assholes in the administration.” Although the streets contain physical danger, the major psychological and emotional threat comes from those who control their police role, with its emotionally over-invested sense of self-worth.

Emotional Vulnerability

Hypervigilance and the biological roller coaster, combined with the emotional over-investment in the police role, create emotionally vulnerable individuals. For the first four or five years, officers are overly enthusiastic about the job, eating, sleeping, and breathing police work. But with eight or nine years on the job, they find themselves increasingly resentful, resistant, and hostile toward a police career. However, they have invested so much financially and emotionally in the sense of security a police retirement provides that, they can’t let go. Former young heat seekers become cynical dinosaurs whose constant lament is: “Just wait until I get my twenty years in, then I can get the hell out of here.”

Regardless of which theorist is discussing the concept of stress, the crucial elements in defining stress appear to be any given situation where subjects have high demands placed on them and low control over those demands. Police officers, particularly those who do the best job and care the most about their police role, are extremely vulnerable to police stress. The best officers are those most susceptible to the stress of the biological roller coaster. Those officers, who practice good officer safety skills and are hypervigilant and observant, are the ones most likely to have an elevated sense of involvement on duty. They are also the ones most likely to have the biological roller coaster come crashing down during their off-duty time. They go from “heat seeker” to “couch potato.” It’s during this off-duty, down time that any significant intervention must take place. However, during this down time when officers are experiencing apathy and detached exhaustion, they are least likely to implement any change. Life is in neutral. If officers do anything, it will probably be to complain about the job. In breaking the stress cycle, officers must take control over those aspects of their lives that they can control. Average cops do not control their police role. However, they can control, at least to a larger extent, their own personal life. It is the surrender of their personal life to the biological roller coaster and off-duty depression-like states that causes the strong vulnerability of the police stress response. Officers find themselves feeling less and less comfortable off duty, even while becoming more and more cynical about the job. The only time they feel alive and involved is at work. So the over-investment in the police role continues, and they become more and more vulnerable to having this over-invested role taken away from them without a well-developed personal life to cushion the blow. This highly vulnerable emotional state typifies the personal lives of a significant percentage of law enforcement officers. Officers need to recognize the vicious cycle and make appropriate changes in their life-styles.

Controlling One's Life

It is very difficult for average law enforcement officers to make a realistic appraisal of how much of their personal life they really do control. Their immediate rationalization is to say "I'm a cop twenty-four hours a day." But, in reality, with some planning and proactive effort, they are capable of controlling a significant percentage of their time each day. They can develop separate, non-cop personal lives. This is usually not done easily because when officers are off duty, the biological roller coaster robs them of spontaneity or enthusiasm. What do average cops want to do when they get off duty? "Nothing. Absolutely nothing!"

Several ineffective methods of breaking this cycle have surfaced, and in all likelihood the average cop has experimented from time to time with all of them. They focus on getting officers out of the off-duty valleys of the biological roller coaster and back to the more elevated states associated with on-duty status. Some officers heavily invest in special response team assignments, where staying on duty for longer periods of time permits them to experience even more than average levels of hypervigilance. The narcotics officer or SWAT officer is an excellent example of the extreme heat seeker. But such actions are an inappropriate way of attempting to regain control. For married police officers, promiscuity and/or other relationships that are initiated while in the police role permit officers to extend, inappropriately the sense of aliveness and energy and to avoid the pitfalls of apathy and detachment at the opposite end of the roller coaster. Gambling, substance abuse, "choir practices"—all are escape mechanisms that go far beyond just permitting officers to "unwind." They allow over-invested police officers to avoid facing the realization that home, in contrast to the emotional on-duty of the biological roller coaster, is a place and time of detachment, isolation, and depression, and is to be avoided at all cost.

Family Impact

As the police socialization process evolves over the years and hypervigilance becomes the normal perceptual set for police officers, the police family does not go unscathed. The family also learns to over-identify with the police role. Pride in being a police family may become of pathological importance in maintaining the police perceptual style as a primary family identifier. The result is that any variable that emanates from the work place is of increasing importance to the family's well being and happiness. As the officer and family begin putting more and more of their eggs in the basket marked "police role," a drastic effect looms on the horizon. Because more law enforcement officers are on the receiving end of orders, than are on the giving end, police families become vulnerable to the actions individuals outside the family who have an important role in controlling the family identity.

The over-importance of the police role leaves the police family feeling hyper-vulnerable to any changes that impact the officer's police role. If there has been over-investment in the police role and a concomitant narrowing of support systems to only the police culture, changes, such as, removal from an assignment can send the vulnerable police family into crisis. Police families also fall victim to the "couch potato syndrome." They become deficient in planning skills. "We like to be spontaneous" becomes a catch phrase for a lot of police families, even though "spontaneity" might be something the family has not experienced socially in years. Hobbies are forgotten, vacations are not planned, and trips away from the police role are not experienced. The cycle of over-investment in police work, the biological roller coaster, and apathy toward and disregard for a personal life may even cost police officers their families during the first decade of their career. This leaves them

without vital support systems and compounds their isolation as the second decade of a police career unfolds.

Case Example. Officer John Miller was a sixteen-year veteran of a two-thousand-officer police force. During his career, he had served in several capacities, from patrol officer to detective. For the past nine years, he had been a canine officer. During this time, John earned the respect not only of the street cops, but also of his superiors. It was a rare individual indeed, who did not speak of John as an officer to be admired and looked up to. John had high job satisfaction, was well respected by other canine officers, and appeared to be heading toward his twenty-year retirement as a police success story. John also had a well-functioning police family.

He had been married for seventeen years. This marriage had produced two children, a son and daughter, fourteen and twelve years old. The family was heavily invested in John's role as a police officer, particularly in his specialty of canine officer. The children had grown up with police service dogs as members of the family. On two occasions over the past decade, the family had traveled, once to California, and another time to the southeastern United States, to bring back prospective canines for the dog unit. These trips occurred as part of the family vacation. The family also had imported a dog from Germany at their own expense. Beyond a doubt, this was a police family—a canine-oriented police family. On more than one occasion, the children had been proud to have their father bring the highly trained dogs to their elementary and junior high schools to perform canine demonstrations.

Suddenly John found himself under the supervision of a new captain. The new command officer had certain ideas of his own involving the cross-training of bomb dogs and narcotics dogs. John adamantly opposed this idea. John tried to approach his new captain with tact but was met with an authoritarian narrow-mindedness. The captain ordered John to take his experienced drug dogs and cross-train them as bomb dogs. Again, John tactfully attempted to explain to the captain that once a dog is certified to alert to one narrow range of olfactory sensation, cross-training would confuse the animal and reduce its total efficiency, producing a dog of only limited serviceability. When this approach was rebuffed, John tried to make it clearer by pointing out to the captain that if a cross-trained dog sat down (meaning that he's found something), they wouldn't know whether to evacuate the building or get a search warrant. The captain failed to appreciate the humor in his approach, and John found himself unceremoniously ordered out of the canine unit and returned to uniform patrol, assigned to a part of the city where he had begun work sixteen years prior.

This unexpected transfer hit John quite hard and also his wife and children. The transfer meant that not only was John no longer a member of the specialized canine unit, but that all city-funded equipment, including the dogs, would be turned back to the city for assignment to another officer. John took the transfer hard.

When he started his new assignment as a patrol officer, he did so with cynicism and hostility. This was the first time in sixteen years that John did not enjoy going to work and he rapidly grew to hate it. His sick leave increased as did the number of citizen complaints. On more than one occasion John found himself receiving verbal discipline from his watch commander (an officer with whom he attended the police academy sixteen years prior). John's new lieutenant attempted to perform intervention and supervisory counseling by stating "John, I know that the manner in which you were handled at Special Operations (canine) was maybe not the best way. This is field operations and it's a new deal over here.

I need you as a leader. We have a lot of young cops out here and I'm gonna need your seniority and your leadership.”

To this John responded, “Lieutenant, you can count on me being here. I have four years to go until I retire, but don't count on me for anything else. John's behavior continued to deteriorate evidenced not only by a lack of adequate investigation for field calls, but also by a general decline in his performance as a police officer.

While deterioration was taking place at work, John's family—also was beginning to suffer. His wife and children bounced back from the transfer much sooner than John did. His wife advised John, “You have four years to go here and then we can do what we want to do. Let's just finish it out.” To which John responded, “I'm not gonna make four years with these assholes.”

Several months after John's transfer from canine he encountered an old police friend who had retired and become chief of police in a small rural department in the same state. When John and his old friend began commiserating over old times, his friend advised him, “if you come to work for me in my department, you can start working your dog the day you arrive.” John was rather enthusiastic about this job proposition, even though it meant a 40 percent reduction in pay and relocating almost 230 miles away in a small rural community. John's wife took the news of a potential move with a marked lack of enthusiasm.

“John, we've lived in this city almost our whole life. Our children were born here. Our parents are here, and our home is almost paid off. Let's just do four more years with the department then decide what we want to do. I don't think we can take a 40 percent cut in pay and still make ends meet.”

Thus John and his wife began several months of confrontation over his accepting the chance to work with a dog again in the new town. Now not only was the work place exceedingly unhappy for John, but also for the first time in seventeen years of marriage, home had become a place of confrontation and tension. After several months of constant debate at home over whether or not to relocate to the new city, and simultaneously operating under closer and closer administrative scrutiny due to his deteriorating police performance, his wife finally gave in, saying “If the only way I can keep this family together is to move to that town, then I guess we just have to go.”

John and his wife sold their home, where they had lived for sixteen years, transferred the kids to a school district of questionable quality, and attempted to re-create a new life in an isolated part of the state away from friends and family. The state in which the family lived had statewide certification for peace officers and a statewide public safety retirement system, so his retirement rights were intact. John continued to work toward his last four years of a police career.

Shortly after arriving in his new department, John found the grass was not always greener on the other side. His old friend, the Chief required all officers to undergo a field-training program. John was assigned a field-training officer who had approximately two years of police experience. Although John was typically an easy going and open-minded individual, he found the young officer's habit of personal editorializing about officer safety more than he could bear on a daily basis. John soon began getting into confrontations with this young officer. This was reflected in his daily evaluations and eventually brought John to the attention of his old friend, the Chief.

The chief attempted to counsel John by saying “John, look just go through the field training program. Learn how we do business here, and as soon as you’re through the program, we’ll start working on your getting a canine unit up on the streets.”

To this John responded, “I thought I was going to work a dog as soon as I got here.” The chief advised him at this point that his canine unit could not be funded until the next fiscal year, approximately seven months away. Feeling angry and betrayed, John confronted the Chief. “You brought me way the hell up to this Godforsaken spot by telling me I could work the dog. Now you’re saying I can’t have one for seven months. That’s B.S.”

Soon John was given the choice of conducting business the way the Chief wanted or finding employment elsewhere. John went home and advised his wife that they were leaving the town after only two months. His wife responded positively, believing that they were returning to their old city where John had rehire rights, in as much as, he had given notice to his former employer.

John responded, “I’m never going back there to work for those assholes even if I only had four days, not just four years.” John quit his job and found employment in a twenty-man police force, again at the opposite end of the state. This time he traveled to his new employment without his family; his wife elected to return to the city where his police career had begun. John found himself divorced, two hundred miles away from his children. At first he saw them every other weekend, but as the months passed he visited less and less frequently. John became involved in a live-in relationship with a dispatcher who worked in his new department.

After a year and a half working as a canine officer in the new department, a new mayor and city council were elected. The day they were sworn into office, they terminated the Chief of Police and the entire police force, including John. Now, at forty-one years of age, with eighteen years toward a twenty-year retirement within the state, John found himself with high blood pressure and impaired vision, and unable to pass a required pre-employment physical for state law enforcement officers.

Two years away from retirement eligibility, John went to work as a security guard in a power plant 300 miles away from the city where he practiced law enforcement for sixteen years. He began to drink excessively and became a hostile, cynical, and emotionally broken man.

John’s case can be considered a tragic consequence of the police stress cycle and a prime example of how vulnerable a police officer becomes if he welds his sense of self-worth to his police role—a role he himself does not control. Obviously, John lost perspective along the way by over-investing in his role as a canine officer. More important, he also lost his wife, a day-to-day relationship with his children, a satisfying police career, and ultimately retirement. How in a little less than two years did a satisfied, enthusiastic, happily married police officer become an angry, cynical, depressed, alcohol abusing individual who, in all likelihood, will never realize a police retirement and who, without professional counseling, will not be able to put the pieces of his life back together?

By studying John’s case, average cops can learn the tragic consequences of law enforcement over-involvement, the consequences of the “brotherhood of biochemistry.” It’s important to step back from John’s case and point out where he made mistakes that average cops unfortunately often replicate with little, if any, awareness of their own vulnerability.

If you were a friend of John’s, what would you have advised him to do along his downward spiral and career-ending decisions? Would you have told him to just go along

with the captain and cross-train the bomb and dope dogs, knowing that it would yield a dog that was unserviceable? Would you have told him to just bear it the next four years? Do it by “standing on your head” if you had to, just complete your four years? It won’t do any practical good for John, or any other police officer, to point out that the captain who ordered the training was just “an asshole” or that the Chief of the small town who promised John an immediate position as canine officer and then reneged, was also “an asshole.” It won’t help to blame the mayor, city council, and all the registered voters who ousted the chief and all his officers, for John’s misfortune.

Somewhere during this tragic cycle, John should have taken control of his life and assumed personal responsibility. John is like a large number of other law enforcement officers heavily invested in the police role; highly vulnerable because he had placed all his eggs in the basket marked “canine officer” in a basket held by someone else. In John’s case, the basket was held by a captain who, in all likelihood, was not highly competent. Nonetheless, when the basket fell, John and his family sustained the damage not the Captain.

What would you have told John? Would it have helped to tell John to start putting some eggs in a basket marked “John and family?” Maybe John, his wife, and the children could have started an independent canine training service. Perhaps John could have channeled his enthusiasm into other aspects of life that the police department did not control.

John was a victim of police stress because he, like other victims, had no control over his fate. Police officers who over-invest in their police role, no matter how benevolent their intentions, run the risk of becoming another “John.” How often have competent, enthusiastic officers had a positive productive career changed by a transfer, a demotion, a loss of status or prestige in the department? Whom do those officers turn to? Because of the job’s biological roller coaster, they have failed to develop a personal life. Where do the officers escape to? Where do they feel in control? It’s obvious that the police department controls the police role. If officers have abdicated a personal role, where do they find emotional serenity, peace, and tranquility? They don’t. Instead, with other burned-out cops, they find camaraderie and shared cynicism and hostility toward the police department. Although John’s case is a tragedy, it’s by no means an isolated example.

At this point, let’s ponder solutions, not only to John’s case, but also to stress related problems in general. To be continued . . .

Stress Management Strategies

We have already alluded to a number of stress management strategies that leaders can use to move followers closer to the optimum point on the performance-stress curve. Another look at Figure 35 shows us that the leader has three areas with which to work in stress management: 1) the manipulation of perceived and actual demand on the follower (demand-related strategies); 2) the assessment and subsequent enhancement of perceived and actual capability of the follower (capability-related strategies); and 3) the alleviation of dysfunctional responses exhibited by the follower (physiological, psychological, and behavioral response-related strategies). The first and second strategies may involve attempts either to increase or decrease stress levels in the follower; the third normally involves only attempts to decrease the effects of stress.

The general procedure for management of stress begins when the leader, through various assessment processes previously described, determines that an individual's stress level is not at the point for optimum performance. In general, if the leader determines that the stress level is too low to generate desired performance, the leader may choose to raise task demand to a point where demand exceeds capability. On the other hand, if excess demand is dysfunctional (e.g., performance stops, behavior changes, relations strain, etc.), the leader may want to investigate the probable cause and either reduce the demand to a tolerable level or increase perceived capability of the followers. A third option is to attempt to alleviate the effects of the stress. In essence, then, the leader can either focus on demand, capability, response, or any combination. We will discuss each of these strategies along with some institutional stress reduction techniques in greater detail.

Demand-Related Strategies

We will start by looking at ways that the leader can influence the actual demand of the situation. In most situations, the leader can influence the actual task demand by altering the specificity of the instructions, the performance standards, or both. For example, "Sam, get this place cleaned up!" has a low degree of specificity, and if Sam has never cleaned the area before or has cleaned it previously but does not know how much needs to be done this time, stress may be high. In contrast, the demand "Sam, get this place cleaned up, and here's what it should look like when you get through..." or "...in the next room you will see an example of what I am talking about," is much more specific and may reduce the stress level.

The leader can also alter the actual demand by increasing the performance standard incrementally. Saying, "Barbara, you are going to have to double your output over the next four months," will normally create a great deal of stress. A more appropriate strategy for the leader is to increase the demand on Barbara gradually. Incremental changes are usually more tolerable than a sudden large increase in the demand. A good example of the effect of changing performance standards occurs during preparation for athletic competition. Performance levels are generally raised progressively as you get in better condition and your capability approaches the demand. By doing so, you are never quite at the demanded level. The individual who sets out to repeatedly break a personal record is, in fact, manipulating task demand.

Another source of demand manipulation that the leader may use deals with the allocation of resources for the accomplishment of the task. It is unusual for a leader to

deliberately withhold resources to create stress; however, constraints of time (a resource over which the leader often has control) may be used in order to manipulate the degree of demand. By altering deadlines or by changing the time allocated to various subtasks, the leader can drastically affect the task demand. An excessive time constraint may in itself produce dysfunctional stress levels within followers. If a leader ignores comments such as “I can do it but not in the time allocated,” the possibility of dysfunctional stress exists. On the other hand, a demand like “we need to hurry with this report” may stimulate a lethargic follower to the point of improved performance.

Change in task demand or procedure can also be a major source of stress under control of the leader. Followers tend to view new or changed policies as exceeding their ability, particularly if the current procedure has been established for some time. Whenever a task change is contemplated, the leader should carefully plan for the management of change. Any change program should consider 1) explaining the rationale for change, 2) predetermining goals, 3) involving the affected personnel in the planning process, and 4) providing feedback on how the change process is proceeding.

Communication, of course, is also an essential contributor to the level of demand. The leader may communicate information to dispel the ambiguity or conflict for the follower. The leader may also manipulate the data provided to followers. Data overload, of course, is a primary source of stress in modern organizations and can lead to dysfunctional stress.

In attempting to manipulate perceived demand, the leader needs to remember the individual differences that exist in followers. “One person’s dream is another person’s nightmare.” Perceived demand means exactly that. What is perceived as okay by one follower may be perceived as threatening by another. For example, if one follower deplors extremely structured environments, efforts to clarify that particular task may result in an imbalance to the point of dysfunctional stress. Another follower, however, may welcome clarity to reduce the level of stress. Remember high and low growth need individuals?

There are also indirect means of influencing the perceived demand of the task. For example, the leader can manipulate the physical environment by adjusting such factors as temperature, noise levels, and other comfort factors. Imagine the change in difficulty of performing a neutral task when moving from a quiet and cool location to a hot, noisy, humid spot. Another indirect strategy for influencing demand is the altering of the reward system associated with the task. Task completion that results in a payoff valuable to the individual is a variable in the level of stress. Motivation theorists have suggested that the very things individuals strive for are stressors and that the perceived reward is what makes the effort worthwhile.⁶⁰ Therefore, altering the individual payoffs for performance, particularly in blocking or easing the way to the reward, can effectively alter the perceived level of demand.

Other aspects that are usually under control of the leader pertain to multiple, often conflicting demands placed on followers. This is especially critical when a follower is caught in the dilemma of working for two or more bosses, each generating a unique set of demands. Often such demands remain uncoordinated and the follower, wanting to do the best job for each boss, is caught in a highly stressful situation. Such circumstances can usually be prevented through coordination with other organizational leaders or by merely asking followers to outline the requirements that others have placed on their time.

⁶⁰ Forgas, R. and B.H. Shulman, *Personality: A Cognitive View* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1979), p. 259.

While there is a great deal the leader can do to manipulate demands, and hence individual stress levels, it is only half of the equation. Recall from above that the essence of stress is the imbalance between perceived demands and perceived capabilities. Hence, the leader should not overlook adjusting a follower's perceived capabilities. Let's explore this notion next.

Capability-Related Strategies

Stress management strategies may also focus on the individual follower's capability—the perceived and actual ability to accomplish the task. Strategies directed at capability are generally focused on either directly altering the follower's ability through training and coaching (actual capability) or trying to improve self-confidence in performing the task (perceived capability).

Altering the follower's ability through training or skill development can be accomplished by simple on-the-spot correction, coaching, or formalized schooling. To accomplish this, the leader must be aware of prerequisite skills, follower abilities, and the gap that exists between the desired skill level and the skill level required. The leader must then take necessary action to correct the situation. For example, the person in an organization who constantly fails to pass inspection but appears to be trying is obviously in need of additional skill training. The leader could arrange for the individual to attend a school in the particular required skills, or the leader can establish a coaching relationship with the follower. If the training is relevant, the person's actual capability to meet the job demands should increase. Not only can job-specific skill training assist, but general job skill training can also be beneficial. For example, training in time management can increase the perception of capability merely by giving the person an ability to manage time effectively.⁶¹ (Simple planning calendars and daily "To Do" charts can assist greatly in the management of time.) In addition, such general skill training as human relations, communication, decision making, counseling, etc., can help increase individual perception of abilities.

What about the possibility of training for stress? The logic of such an approach is that if people are subjected to stressful situations in training, they will experience less stress in actual job-related situations. In essence, their toleration level will be increased—a form of stress inoculation. Although many organizations, particularly in the military, rely heavily on stress training, there are several arguments against such training. First, research into cognitive processes has shown that under conditions of high stress, learning ability is hampered.⁶² If new skills are introduced under high stress conditions, the cognitive interference of stress reduces the chances of learning. The more complex the behavior, the less likely the individual will learn the behavior. Second, if an environment is set where failure due to stress is obviously inevitable, the fear of failure itself may create an additional decrement in individual performance. Third, indiscriminate stress during training may not resemble the stress of the actual event. For instance, it is difficult to equate the practice of name-calling in Army Basic Training with the heat of battle. The more closely the situation that requires a particular response resembles the training environment, the greater the probability of the successful transfer of skills.⁶³

⁶¹ Mackenzie, R.A., *The Time Trap* (New York: McGraw-Hill, 1972).

⁶² Soble, *op. cit.*

⁶³ Ellis, H.C., *Fundamentals of Human Learning and Cognition* (Dubuque, Iowa: W.M.C. Brown, 1972), pp. 85-105.

These factors suggest that the ideal training situation for an organization that needs its members to function in high stress situations may include the systematic teaching of necessary skills at relatively low levels of stress where the chance for successful learning is greater. Once the individual achieves the desired skill level, stress inoculation may be performed by increments, having the individual perform the skill in increasingly stressful but work-related situations.

Based on these considerations and what we know about the consequences of stress, the following questions might be asked by a leader who contemplates improving capability by using stressful training:

1. Do the followers have the necessary skills prior to the introduction of stress?
2. How realistic is the relationship between the training situation and what the person will face on the actual task?
3. Is the cost (physiological and psychological) worth the benefit for the group and the individual?
4. Are there other ways to accomplish the task and achieve similar results?

An example of appropriate training for stressful conditions can be seen in the training of air traffic controllers. Initially, training takes place in a classroom environment. The students are then moved to simulators where realistic and directly transferable training takes place. Next, students are allowed to work with a fully rated controller in an actual, although controlled environment. Finally students are certified to operate a station on their own. Each step is more stressful than the previous, but the basic techniques have already been learned and practiced in less stressful conditions.

The results of an experiment involving a large police academy, as mentioned above, provide insight into the inappropriate use of stress-inoculation techniques.⁶⁴ Recall that two distinct training philosophies were used in the academy. One set of classes was subject to the academy's existing, highly rigid, nonspecific stressful program, where stress was applied through heavy physical training, forced endurance of Mickey Mouse inspections, creation of an "any decision is a wrong decision" environment, and mass punishment. In the experimental classes, although candidates received the same curricula, instructors, evaluations, etc., they were instructed in a professional, nondemeaning atmosphere. This environment did not use yelling, threats to self-esteem, or mass punishment. The test group was placed in a situation based on mutual respect, free verbal exchange, and minimal ambiguity. Results showed that the test group received significantly more positive evaluations on accepting criticism by peers, accepting policies, and working without drawing unnecessary attention, but no difference was found in a global overall job performance. However, in later field performance, experimentally trained police officers performed at a significantly higher level than their stress-trained cohorts. In addition, they reported higher job satisfaction and performance acceptability by the persons they served.⁶⁵ As classes were

⁶⁴ Earle, H., "An Investigation of Authoritarian versus Non-Authoritarian Training in the Selection and Training of Law Enforcement Officers," Unpublished Doctoral Dissertation, University of Southern California, 1972.

⁶⁵ *Ibid.*, p. 150.

randomly assigned to the conditions and a concerted effort was made for equal assignments upon graduation, the systematic difference in performance evaluation was attributed to the difference in initial training environment. These results notwithstanding, the question of the effectiveness of training under generally stressful conditions as a means of inoculating the person from future stress is still an open issue. Nevertheless, the previously discussed systematic manner of teaching new skills appears to be logical and psychologically sound and has at least one field study whose results support such an approach.

Another strategy for altering the person's perceived capability is to work directly with the person. This is difficult at best. A change in a person's perceived capability does not necessarily follow a change in actual capability. Utilization of communication and counseling skills may be useful here to guide the individual in a realistic and systematic evaluation of the demand and their capability to meet the demand. By using various communication and counseling skills, the leader can cause the follower to discuss skills, shortcomings, and needs in a more realistic fashion. (There are several workbooks and surveys on the market that attempt to help people make detailed self-assessments.)⁶⁶ The leader can also attempt to provide accurate and detailed feedback on the individual's performance in answer to two critical questions: "What should I be doing?" and "How have I been doing?"

The leader can also indirectly influence the individual's capability to meet the demand by concentrating on physical health. Medical research suggests that a healthy individual is better able to withstand the physiological and psychological effects of stress than are the unhealthy.⁶⁷ The concept of a healthy body as a counterbalance against stress is not new and many large organizations have facilities and programs to enhance the physical fitness of their personnel. The long-standing emphasis on physical training in the military is particularly noteworthy in this regard. In addition, diet and nutrition are becoming major organizational concerns.⁶⁸ Many organizations are paying for smoking cessation clinics for their members. The leader can assist followers by making health and physical fitness a major topic in performance or personal counseling sessions and in everyday conversation, as well as serving as a role model in this area.

Response-Related Strategies

Leader attempts to prevent dysfunctional stress levels through manipulation of demand and capability notwithstanding, many times the effects of excess stress only become apparent when the leader notices unusual behavior. In some instances, aberrant behavior is not a sign of excess stress but instead may be inappropriate coping behavior in response to existing stress. To maintain required performance levels, leaders must be prepared to help followers manage their responses, whether they are inappropriate behavioral responses or dysfunctional physiological and psychological responses.

Inappropriate coping or avoidance behaviors on the part of followers are generally the most observable to the leader. The major strategy for reducing such inappropriate behavior

⁶⁶ Popular examples are: Voiles, R.N., *The Three Boxes of Life* (Berkeley, CA: Ten Speed Press, 1978); Bolles, R.N., *What Color Is Your Parachute?* (Berkeley, CA: Ten Speed Press, 1978); Miller, Donald B., *Personal Vitality* (Reading, MA: Addison-Wesley Publishing Company, 1977).

⁶⁷ Beehr, T.A. and J.E. Newman, "Job Stress, Employee Health, and Organizational Effectiveness: A Facet Analysis, Model, and Literature Review," *Personnel Psychology*, 31, pp. 665-669.

⁶⁸ *Ibid.*, p. 667.

is through contingency management, popularly--although inappropriately--called *behavioral modification*. Although contingency management is sometimes associated with elaborate mechanisms and sensory feedback to the individual, the basic tenets have been available to leaders for a long time. Essentially, this strategy involves the use of rewards for desired behavior and punishment for undesired behavior. When a follower's behavior in response to a given task is one of avoiding the task by using other nonperformance related coping behaviors (thereby avoiding associated stress), the leader may choose to channel behavior through rewards and punishments. For instance, repeated tardiness or an excess number of coffee breaks on the part of a follower may be a sign that the follower is avoiding a given task. The leader could help direct more activity toward the work by applying punishment (a verbal reprimand) to stop the tardiness and providing a reward (private praise) when the individual arrives on time and begins to work on the task. There are a number of self-administered contingency management techniques available to help individuals control such habit-based behaviors as excess eating, smoking, drinking, etc., that may be job related.⁶⁹ Leaders should not forget that by changing their own behaviors, a change in follower behaviors can be achieved. By providing models of appropriate behavior, the leader can influence the follower's behavior. The leader, however, must ensure that the modeled behavior is observed by the follower. The leader may even combine the various techniques. For example, we may consider modeling an approximation of the desired behavior, rewarding the follower when the appropriate response is made, and then modeling a closer approximation of the behavior.

Most interventions that seek to affect the undesirable physiological response to stress are medical in nature. However, there are several generally accepted intervention strategies available to individuals that can change not only physiological responses but also the psychological responses. Relaxation (or meditation) is one such technique. The singular mental focus on a word or idea while in a restful position decreases anxiety. This resulting restful state is viewed by some researchers as an ideal stress management technique since it is always available (even during work time).⁷⁰ The underlying principle of relaxation is that it decreases arousal caused by the sympathetic nervous system. It has been shown that such relaxation techniques can reduce symptoms of stress, such as heart rate and blood pressure.⁷¹ A popular form of relaxation is described in Figure 38.

Another form of relaxation involves muscle relaxation through systematic relaxation of the whole body by moving from muscle group to muscle group or by differential relaxation, relaxing a specific muscle group. In some cases, medication may even be appropriate. Research has also indicated that simply by getting people to imagine themselves in a relaxing location, such as the beach, the effects of stress can be reduced.⁷²

Another stress management technique of some value to the leader is biofeedback—the conscious effort to control unconscious bodily processes (stress responses) through the use of electronic equipment (feedback). Through the use of display equipment, the individual learns to control specific body functions by applying conscious control to the

⁶⁹ For an excellent reference on self-modification, see Watson, D.L. and Tharp, R.G., *Self-Directed Behavior*, (2nd Ed.) (Monterey: Brooks/Cole Publishing, 1977).

⁷⁰ Frew, D.R., "Transcendental Meditation and Productivity," *Academy of Management Journal*, (1979), 17, pp. 362-368.

⁷¹ Benson, H., *The Relaxation Response* (New York: William-Morrow, 1975).

⁷² Hassett, G., "Teaching Yourself to Relax," *Psychology Today* (August 1978), pp. 28-40.

function in question. For example, one may learn to lower heart rate. Although there is a great deal of evidence to support the use of biofeedback for the control of individual bodily responses,⁷³ there are some difficulties with its use in the work environment.⁷⁴ For example, the equipment can be very costly. These strategies are useful, however, in situations where it is necessary to relax people to the point where they can deal with other intervention forms.

Figure 38. The Relaxation Response

- 1) Sit quietly in a comfortable position.
- 2) Close your eyes.
- 3) Deeply relax all your muscles beginning at your feet and progressing up to your face. Keep them relaxed.
- 4) Breathe through your nose. Become aware of your breathing. As you breathe out, say the word “one” silently to yourself. For example, breathe in...out, “one”; in...out, “one”; etc. Breathe easily and naturally.
- 5) Continue for 10 to 20 minutes. You may open your eyes to check the time, but do not use an alarm. When you finish, sit quietly for several minutes, at first with your eyes closed and later with your eyes opened. Do not stand up for a few minutes.
- 6) Do not worry about whether you are successful in achieving a deep level of relaxation. Maintain a passive attitude and permit relaxation to occur at its own pace. When distracting thoughts occur, try to ignore them by not dwelling upon them and return to repeating “one.” With practice, the response should come with little effort. Practice the technique once or twice daily but not within two hours after any meal since the digestive processes seem to interfere with the elicitation of the relaxation response.

In addition, a strategy related to relaxation is that of time-out—simply taking a break from the stressful environment or switching to another activity. Time-outs can be of variable duration. For people who face a major life crisis (divorce, death of a spouse, etc.), a lengthy leave of absence may be the most prudent course of action. More commonly, however, the short walk around the library while writing a lengthy term paper may suffice. Time-outs are especially critical for those who occupy jobs of intense human interaction, such as policemen, nurses, mental health practitioners, and leaders. Research indicates that those who deal with stressful human problems every day often develop symptoms of emotional exhaustion, cynicism, and paranoia—a condition sometimes called *burnout*.⁷⁵ Escape or time-outs of a long duration can help resolve such problems.

Necessarily, caution must be exercised in the use or suggested use of these rather simple techniques. It is sometimes difficult for a leader to ascertain the level or severity of stress responses. Generally, when a leader suspects a severe psychological response (e.g.,

⁷³ Kamiya, J., T.X. Barber, N.E. Miller, D. Shapiro and J. Stoyva, *Biofeedback & Self-Control* (Chicago: Aldine Publishing Co., 1977).

⁷⁴ Newman, M.F., and T.A. Beehr, “Personal and Organizational Strategies for Handling Job Stress: A Review of Research and Opinion,” *Personnel Psychology*, 32, pp. 1-43.

⁷⁵ Maslach, C. and S.E. Gackson, “Burned-Out Cops and Their Families,” *Psychology Today*, (May 1979), pp. 59-67.

acute anxiety or depression), the follower should be encouraged to seek professional help. Leaders generally have neither the time nor the expertise to deal with severe problems.

One technique that is always available to the leader is social support. Membership in groups consisting of individuals undergoing the same environmental stress can provide an outlet for tension with a group of people who can empathize. The exchange of information permits individuals to realize that others are experiencing a stressful situation in similar ways. People will often form such groups on their own if the opportunity exists. The stress manager's function may be to provide such an opportunity. This technique is especially viable for people in the initial organizational socialization period. Deliberately fostering support groups is a means of helping people deal with the stress of the situation. This can be done by allowing time for group interaction or facilitating family time, a valuable social support group.

Having explored stress management techniques in theoretical terms, let's return to Dr. Gilmartin's article and compare theory with his practical solutions.

The Stress of Policing: A Special Case—Continued

The first step in helping officers to achieve emotional survival is to teach a proactive life-style. “Render unto Caesar the things that are Caesar’s,” but take the reins of your life fully in hand and develop a personal life. For most police officers, this requires a written, pre-planned personal master calendar that the family keeps posted someplace visible and central to the family. Often it is put on the refrigerator with magnets. This pre-planned master calendar permits the family to put in writing several things each week that they can look forward to. These activities do not require significant expenditures. Bowling, walks, physical exercise, or even quiet time to read can give officers control over at least one aspect of their lives. Usually it’s this block of time, the off-duty time that young officers throw away so haphazardly. Many officers will view the suggestion of attempting to develop a proactive personal life with uncertainty and rationalize away any possibility of doing so by statements such as: “Yeah, every time you plan something, some jerk down at the department’s gonna call you back,” or “I took a vacation once and when I came back I was transferred.”

Many times these rationalizations are true, but does this require a police family to surrender control of its own time? If they make the fatal mistake of giving up control, they’re surrendering to the role of victim. Police officers who plan together with their families have a proactive, self-controlled life-style that gives them something to look forward to each day, no matter how small the event. While a certain percentage of these plans are going to be canceled by call-outs, court dates, and overtime, the majority will take place if officers plan them.

Without proactive planning for a personal and family life to break the stress cycle and roller-coaster ride, many police families find themselves not looking forward to “doing things” but rather to “buying things.” These police families find themselves purchasing new cars, guns, and other “large-ticket items.” It sure feels good to buy a new car! Every sensory process is stimulated. The feel of the seats, the steering wheel, the smell of the car is all very stimulating somewhat like the upper highs of the biological roller coaster. However, these buying highs are short-lived. After the novelty wears off, the payment lingers on. Police families who do not plan things to do typically tend to buy impulsively. Thus the biological roller coaster has some very definite drawbacks in the world of impulse economics.

The second major element to emotional survival for a police family is to recognize and satisfy the intense need for physical exercise. Selling physical fitness programs to cops certainly is not one of the easiest undertakings. Many an older street cop responds to the suggestion of jogging with cynical statements, such as: “If they want me to run, why did they give me a patrol car?” However, physical fitness is an officer’s number-one means of breaking the deleterious impact of the biological roller coaster. The downward side of the ride and the resultant off-duty depression is the body’s way of attempting to metabolize adrenaline-related stimulants that are produced during the on-duty “high.” Fuels that are not metabolized through exercise will typically lead to explosive outbursts of anger and hostility at home. “The flying toaster and small appliance syndrome” is the label I given to these outbursts of anger that occur in police families due to the combination of both sedentariness and unresolved anger and hostility. The old military expression, “The more you sweat in peace, the less you bleed in war” suggests that regularly scheduled exercise is one way of

beating the cycle of stress-related depression. It also gives police officers the capacity to practice biological “officer safety” effectively on a daily basis, thus maintaining a balanced sense of alertness on duty.

The extreme physical and emotional swings initiated by the biological roller coaster result in shortened life expectancy. Repeatedly, studies demonstrate that police are more susceptible to injury and death from stress related breakdown than from any other factor. In the civilian population, 55 percent of all deaths are attributable to heart disease. Among police officers, the three leading causes of non-accidental disability retirements are heart and circulatory disease, back disorders, and peptic ulcers.

Police work can not only be survived, but can offer a rewarding career of service to others. However, individual officers must assume responsibility, through self-motivation, to seek the necessary attitudinal change. It is essential for police officers to have a systematic program of physical exercise, not only to break the stress-related cycle, but to provide what cardiologists label cardio-protective resistance.”

Cops need to have a self-initiated regular period, approximately thirty to forty-five minutes per day, of aerobic exercise-rhythmic and repetitive exercise that places emphasis on the exchange of oxygen and carbon dioxide and not on the development of musculature (like weight lifting). Cops who exercise feel a greater sense of self-satisfaction and control over their own destinies. There are days when officers come home from work and don’t feel fit to rejoin the human race. Anger, hostility, and the desire to just “sit in front of the tube and pop a cold one” dominate all other thoughts. Taking a half-hour to work out physically increases their sense of self-worth, self-esteem, and physical well being. Average cops may agree with the benefits of physical exercise, but their problem is “How do I find time to do it? I’m already stretched thin.” This is where they should go back to step one in our tips for officer emotional survival and schedule a time in writing on the calendar.

Biking, jogging, walking, and swimming not only permit officers to have some energy left for a personal life but also lead to lower physiological thresholds under stress that produce better decisions in those life-and-death situations police officers have to face.

The third element of emotional survival that police officers and their families need to build revolves around the development of other alternative, non-police roles. Police officers who, for the first several years of their career could not get enough of police work, unfortunately become those who do not have a personal life, nor do they know how to develop one. The novelty of cop work has worn off, yet there’s no well-developed, balanced personal life to fall back on to recharge the batteries. The contrast between the following two case histories emphasizes the value of developing a personal, balanced life-style.

Case Example. James Martin was a nineteen-year veteran on the day he was killed in the line of duty. When officers were dispatched to his residence to notify his wife and two teenage daughters, they were met with the predictable reactions of emotional devastation that comes with the news of hearing that your loved one will not be returning. The officers on this particular call, after providing whatever support they could to the family, found it necessary to use the telephone. When they approached the telephone, they found taped on an index card under the kitchen telephone the message, “This is a career, not a crusade.” Two months later when the officers followed up to see how the family was doing, the index card was still taped below the telephone. They asked the officer’s widow what the card meant. She responded: “He loved being a cop and he was very good at it, but he had seen so many of his friends become obsessed with police work and how it cost them their families. We

vowed never to let that happen. He loved putting bad guys in jail and he loved being a cop, but he also loved being a husband and a father. We always found time to have our time together. We might have had our Christmases on December 26th or Thanksgiving dinners on Saturday, but we always had them. We never surrendered being a family. I miss him very much. But I can look back and say we had a good life together.”

It’s obvious that this family planned for time together and that the officer had developed other interests. Although this officer lost his life in the line of duty, he left behind an emotional legacy of two children and a wife who not only share the pride of having been a police family but the love of having been a functioning, caring family unit. Police work does not always need to take control of family time

Case Example. Not all stories have the same ending, however. The author (KG) while visiting another city to conduct police training, was approached by the police chief of a nearby small law enforcement agency and asked to become involved in a situation concerning one of their officers who was terminally ill. Initially, the author thought the request was to provide some psychological assistance to the officer. However, the Chief advised that the difficulties were not with the officer himself, but with his son. The problems revolved around the fact that the son, who was twenty-three years of age, had not spoken with his father since he was eighteen, when he left the house under significant family strain. The chief further advised that he himself had approached the young man and found him totally unwilling to even consider speaking with his father, who wished to make peace with his son. The chief angrily expressed his feeling that the son was being unreasonable (“This kid’s some kind of an asshole.”). The author was requested to approach the son to negotiate some sort of peace between him and his terminally ill father.

The following day, the author met with the young man, telling him that he (the author) was there in his capacity of police psychologist to talk with him about his father. The boy interrupted: “You’re here to tell me my dad’s dead, aren’t you?” The author’s response was “No, I’m not. But you really ought to go see him.” This impulsive, highly directive statement resulted in an angry response. Immediately the young man shouted, “You have no right to come here and tell me what the hell I ought to do. You don’t know anything about the situation. Why don’t you just leave!” When the author requested him to explain why he was so unwilling to see his father and attempt to reach some form of final understanding, the young man stated: “Do you know how many times my father ever came to watch me play football in high school or wrestle? I’ll tell you. Not once! Do you know how many times he attended a Cub Scout meeting, a Boy Scout meeting, or a Little League game? Not once! The only thing I can remember about my father when I was growing up was that he was never home, and he was always angry. If I stepped out of line, I was told that I was going to grow up to be just another one of the little assholes that he sees everyday.

The young man vented his hostility, adding that he saw no reason to go into town to visit his father. He said he felt sorry for his mother and would come back to town to help her after his father passed away. The author attempted numerous strategies to get this young man to rethink his position. For two hours the son continued to express his feelings that the time for creation of some relationship between him and his father had long passed. It became obvious that this young man remained adamantly entrenched in his position and was not going to contact his father. When the Chief of Police was advised that the officer’s son would not go to see his father, the Chief expressed anger and hostility toward the young man. The chief described the officer who was dying, saying “I’ve known him for over twenty

years. He's one of the best cops I know, just a fine human being. I'll give you an example of what kind of man he is. There's not a family in our town here who, at Thanksgiving, goes without a food basket, and that's because he almost single-handedly coordinates this program. At Christmas, he receives the names of needy families from the schools and welfare offices, and he sees that each family has a food basket and each child has a toy under the Christmas tree. He's active in our bicycle safety program and in the school resource program." As the Chief was speaking, it became obvious to the author that he was describing an entirely different man from the one the son had. The Chief was describing a life that he had shared with this officer at the upper reaches of the biological roller coaster where the officer was involved and participating in activities and enthusiastically sharing his life with those around him. The officer's son, however, was describing a life spent at the lower reaches of the biological roller coaster—an apathetic, disinterested, emotionally detached, angry father. It was apparent that the chief of police and the officer's son were speaking about two entirely different people psychologically. The tragedy of this second case history is that the son never did travel to the hospital. The officer died, and the son probably looks back on his deceased father with a very different emotional legacy from those of the children of our officer whose professional and personal credo was "This is a career, not a crusade."

Summary

If law enforcement officers are to survive the "brotherhood of biochemistry," they must look at both their on-duty and off-duty life-styles and take charge of the events in their lives that they can control. Proactive goal-setting, an active aerobic exercise program, and nurturing and developing other roles in life besides the hypervigilant police role should enable officers to manage their life-style more effectively. To survive police stress, officers need to know what they can control and to surrender what they cannot control. Their emotional and physical well-being requires them to take a realistic review of their day-to-day life-style and to make whatever alterations are necessary to ensure a well-balanced, healthy personal life.

Conclusion

Listed above are some examples of stress management strategies available to the leader without a high degree of specialized training. Once the leader has instituted a stress management strategy, however, the task is not complete. As previously mentioned, the leader evaluates the effectiveness of the intervention on the basis of predetermined criteria and makes corrections as deemed necessary. The criteria for selection of a strategy may be altered, or we may want to reevaluate the environment to ensure the correct stressor was identified. We simply fine-tune the stress management process.

The evaluation and intervention processes should be planned simultaneously. The criteria must be pre-determined, i.e., what is the desired degree of change in performance? The leader should also consider that there might be two levels of change—one that affects short-term performance and another that affects long-term performance. Increasing stress for a short-term success (a short-term increase in performance) might be detrimental to sustaining a long-term improvement in performance. Finally, the question of time is critical. The leader needs to consider that change takes time and establish a long enough time period for the evaluation. Too short a trial period may disguise the effects of the intervention. These are but a few concerns for leaders evaluating the effectiveness of their stress intervention. Knowledge of stress management techniques is still in its infancy. As research builds and more organizations realize the importance of stress management, the ability to deal with stress-related problems should improve.

LESSON 23: COMMUNICATIONS AND COUNSELING SKILLS

Introduction

This lesson consists of:

1. Communications Theory
2. The Leader as a Counselor
3. Student Role-Plays

Assignment

1. **Read Course Guide**, pages 121-148.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using Communication and Counseling Theory by **classifying** the worker's performance issue into one of the below listed categories.
 - A. Misunderstanding of leader's message
 - B. Personal issue that interferes with job performance
 - C. Career Development issue
 - D. Performance Appraisal issue
 - III. **Explain** how the follower's issue is interfering with individual, group, and organizational outcomes.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.

3. **Practical Exercises.**

Several scenarios will be provided in class depicting a potential workplace situation. For each situation, take either the role of the leader-counselor, employee, or evaluator-observer. You will have a few minutes to digest the information provided. Plan how you will conduct your portion of the role-play during this time. If you are the employee, please make the role-play realistic for the leader-counselor so that he or she can not only practice the safe counseling

skills, but also develop and process a counseling session. Evaluator-observers should study the feedback sheet and prepare to collect information about the session. After the role-play, the evaluator-observer will lead a discussion where the evaluator-observer, employee, and leader-counselors will all have an opportunity to provide and receive feedback about the counseling process.

Communication and Counseling Skills

VIGNETTE

As the riots raged in South Central Los Angeles after the Rodney King court decision, military units were mobilized to support law enforcement agencies and their activities. Responding to a call that shots had been fired from inside a house in a residential neighborhood, a sheriff and his Marine rifle squad arrived at the scene.

The sheriff told the squad leader to cover him while he moved up to the house. The Marine sergeant acknowledged the command and quickly deployed his soldiers in covered positions as they had done dozens of times during tactical maneuvers.

Once in position, the sergeant nodded to the sheriff, the sheriff moved out, and the sergeant ordered, "Fire," as he had done dozens of times before.

The squad opened fire with their M16s suppressing the "objective" while the sheriff maneuvered to "secure" it.

The sheriff, horrified by what was happening, yelled for the Marines to cease firing and demanded of the sergeant what he was trying to do.

As the sergeant and the sheriff discussed their failure to communicate, a pistol was tossed from inside the house onto the front porch and a voice was heard, "I give up! I'm coming out, just stop shooting!"

History is replete with examples such as the one described in the opening vignette. In these extreme cases, miscommunication can result in extensive loss of life and property. In an organizational or interpersonal sense, miscommunication can often be no less disastrous in terms of intended organizational outcomes. Communication has been described as the "thread that holds the various interpersonal parts of an organization together."⁷⁶ And yet, many organizational leaders do a poor job of communicating.

If we look again at the Model of Organizational Leadership, we can see that the focal leader's job cannot be accomplished without effective communication with followers, peers, and bosses. This makes us ask what we can learn about the communication process that can help us be better communicators. We begin this lesson by examining how communication between individuals takes place and the factors that affect the quality of that interaction. We discuss how differences or similarities among the people involved in communication affect the process and whether the nonverbal component of communication influences the transfer of meaning to the extent suggested in popular literature. Then we will examine the organizational environment to determine how it limits or enhances the effectiveness of communication. We will take a close look at selected strategies to help the leader respond to specific organizational communication problems. Finally, we will examine some aspects of the communication process that help make the leader a more convincing communicator.

⁷⁶ Rogers, E.M. and R. Agarwala-Rogers, *Communications in Organizations* (The Free Press) 1976, p. 7.

A Cybernetic Model of Communication

“That’s not really what I meant!” “But, I told them to...” “You must have been mistaken.” “I thought you meant...” All of these common phrases serve notice that something has failed in the communication process. Such miscommunications, of course, can be inconvenient when they occur in casual conversation. However, as noted in the opening vignette, they can have far-reaching implications for the organizational leader if such problems occur in an organizational context. Accordingly, we will look more closely at the possible sources of such failed communication.

Communication can be defined as the process of transferring information from one person to another. Each transfer of information involves at least three basic elements: a source (or sender) of the communication, a message to be transmitted, and a receiver—either a follower, a boss, or a peer whom the source feels needs the information. The message, of course, is influenced both by the content of the communication (the information to be transmitted) and the means of transmitting the content (voice, written, picture, or so on). Each of these elements is a potential source of communication failure.

In a simple diagram, Figure 39 shows the chain of events that takes place when the source initiates a communication. According to this diagram, the process begins with an intended message—something that the source believes needs to be communicated to another. To add substance and meaning to the intended message, the source must encode this message into commonly accepted symbols that are believed to be understood by the receiver. In this context, a symbol merely means something that stands for something else. Selected words or phrases, expressions, and tones are all examples of symbols that a source uses to encode a message. For instance, the words “You messed up!” coming from a leader may be symbolic of the message that the follower failed to satisfy the expectations of the leader. A pointed finger may be a symbolic emphasis to that statement, while a raised voice may symbolize added emphasis.

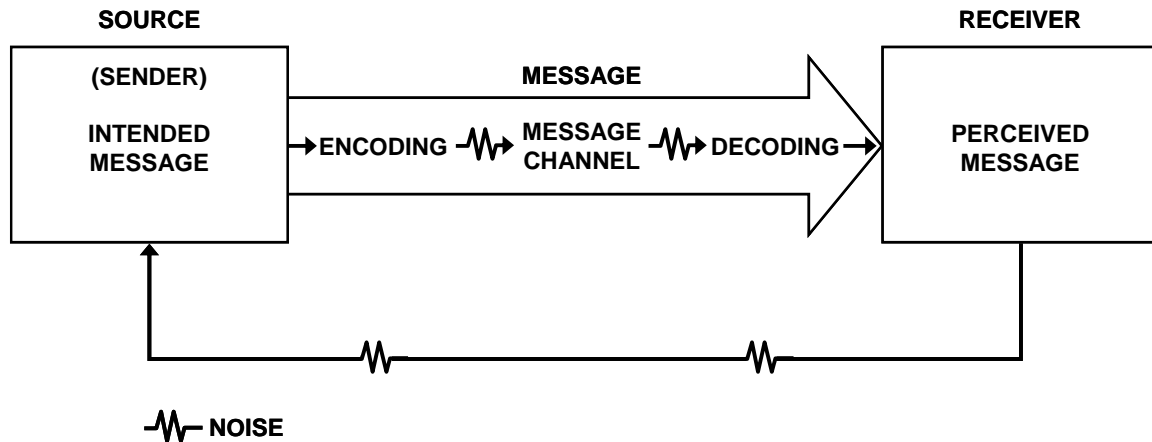
The message, then, is the composite of all the symbols as they are assembled and processed by the source to convey the intended thought or idea. The source consciously or unconsciously selects the message channel with which to convey the message: face-to-face, written, telephonic, or whatever the sender deems most simple or appropriate. Sometimes the channel is dictated by such events as distance, status, or organizational procedures.

Upon receipt of the message, the receiver decodes it by mentally sorting out the sometimes conflicting symbols and interpreting them. For instance, the above communication (exclamatory comment, pointed finger, and raised voice) accompanied by a smile on the sender’s face may be interpreted as a joke rather than a reprimand. In putting all of the symbols together within the constraints of the particular psychological environment, the perceived message is received.

To complete the process, the receiver responds in some way, thereby providing feedback to the source as to how the original message is received, interpreted, and acted upon. In the case of our sample communication, the feedback may be a quizzical look, a nervous gesture, or some type of verbal acknowledgment. In actuality, this feedback completes the cybernetic (or self-correcting) loop for the sender, who may now respond to the feedback received. Feedback also constitutes a process reversal in which the sequence just described begins again. That is, with feedback the receiver becomes the source, encoding and sending a message back to the original source. If the receiver of our sample

communication returns a message of disgust or lack of appropriate concern, or if the receiver misinterprets the source's smile, this would probably stimulate another message from the source to clarify or add more emphasis to the communication.

Figure 39. A Cybernetic Model of Communication⁷⁷



The sequence as described thus far is rather simplistic. Only when we consider the noise in the system (distortions, disruptions, and breakdowns that are part of the transmission process), do we begin to recognize the true complexity of the communication process. Noise, which results primarily from source/receiver differences and unintended supplemental nonverbal communications, takes communication out of the realm of common sense. We will discuss communication noise further in the next section.

The Distortion of Meaning

If a leader is to be a successful communicator, the interpersonal nature of the communication process must be understood. Too often we concern ourselves solely with how we send a message and ignore how the message is received. As organizational leaders, little is accomplished if we send instructions that are not accurately received and implemented. Peter Drucker, a noted management consultant, has stated that in reality, “communication is the act of the recipient.”⁷⁸ This statement forewarns us that communication is not complete unless the intended meaning has been understood by the intended receiver.

Source/Receiver Differences

We can better understand the complexity of the communication process if we recall the following point: no two people view the world in exactly the same way. To put it another way, our perceptions are unique to us and reflect the sum total of the experience that constitutes our reality. In turn, what others see or hear is likewise influenced by their own experience. This issue has significance for communication when we recall that the source

⁷⁷ Adapted from *Organizations: Structure, Processes, Behavior*, J.L. Gibson, J.M. Ivancevich, J.H. Donnelly, Jr. Copyright © 1973, Business Publications, by permission.

⁷⁸ Drucker, P., *Management: Tasks, Responsibilities, Practices* (New York: Harper and Row, 1974), p. 490.

selects and arranges symbols to construct a message that represents a thought or idea. In doing so, the source usually presumes that the receiver attaches the sender's meaning to each symbol and therefore, will interpret the message exactly as the sender intends. In reality, unless special steps are taken, individual differences in the experiences and background of the source and the receiver rarely allow a one-to-one correspondence between the intended message and the perceived message. The opening vignette is an example of this discrepancy.

If reality has different meaning for each individual, how are we able to communicate at all? How do we achieve any agreement upon the meaning of symbols we use in structuring our messages? Communications theorists point out that while each experience is unique to the individual, communication is enhanced to the degree that there is common experience among people.⁷⁹ It seems reasonable, then, that if we want to increase our ability to communicate, we will look for ways to increase the commonality between the receivers and ourselves. For example, in attempting to explain the effect of psychological stress on a human being to a person who has limited knowledge of the functioning of the human body, we may experience considerable difficulty. Yet, if we can draw on some common frame of reference, such as an experience of faintness or depression following some particularly disturbing news or the effect of extending a rubber band beyond its limits of elasticity, we may increase the transfer of meaning considerably.

What are the differences between source and receiver that are particularly troublesome to communicators? Researchers in the field of communications have classified individual differences into five general categories: differences in self-identity, role, value, mood, and motive (see Figure 40).⁸⁰ We will examine each of these more closely.

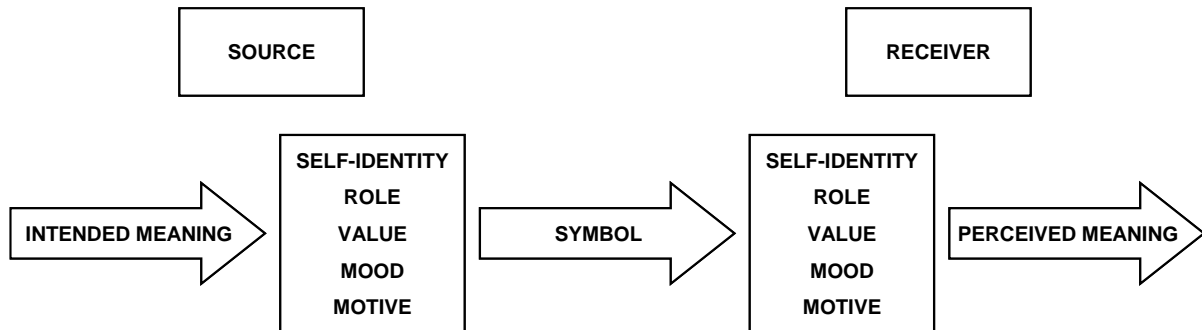
Earlier in Area I when we studied the individual, we saw that differences exist in the way people view themselves and the challenges presented to them. Consider the following case. A leader with a high need for achievement sends a message to a follower, presuming that the message will be received with enthusiasm since it presents an exciting challenge. The leader may fail to effectively communicate merely because the follower, who has a low need for achievement, perceives the message as a threat and thus reacts negatively to it. Clearly such self-identity factors can have significant influence on the transfer of meaning. Source/receiver differences in the manner in which they perceive their roles can also have a complicating effect. For instance, a leader may send a message to a follower requiring him to perform a duty that the leader believes is part of the follower's overall responsibilities. On the other hand, the follower, perceiving the role of follower differently, may consider the requirement to exceed his responsibilities. The ambiguity that results from this situation may lead to various unintended consequences. The follower may think, "Why is he having me do this?" or "What did I do to deserve this?" In addition, differences in value systems may exist between the source and the receiver, which lead to different interpretations of the same message. The middle-aged follower with fifteen years invested in the organization and a person with less than a year on the job may react differently to a request for support that requires personal sacrifices. If the leader presumes equal values (loyalty to the organization), the communication may fail again. Clearly, differences in motive of the source and receiver can also cause miscommunication. For instance, the leader, being in a linking-pin position, may appreciate pressure from above and therefore respond to the organization's need for

⁷⁹ Faban, D., *Communications: The Transfer of Meaning* (Glencoe Press), 1968.

⁸⁰ Ivancevich, J., A. Szilagyi, Jr., M. Wallace, Jr., *Organizational Behavior and Performance* (Scott, Foresman and Company, 1977), pp. 400-401.

compliance with a certain directive. Followers removed from such organizational pressures, and perhaps less committed to organizational goals, may respond differently to the same message. Mood differences may also alter meaning between sender and receiver. A message from a stressed source may be perceived quite casually by an understressed receiver. That is, what is intended to be a priority message might be received as merely routine. The message in the opening vignette reflects the effect of mood on communication. In this case, a highly stressed communicator by gesture directs an attack towards the wrong objective.

Figure 40. Symbolic Interaction⁸¹



In addition to these more formally defined criteria, there may also exist socio-economic, political, religious, cultural, generational, or even age differences that affect the way in which the source and receiver interpret or attach meaning to various symbols. Normally, combinations of these differences will add to the variation between the intended and perceived meaning of a message. A common response to a failed communication is, “Oh, I didn’t know that was what you meant.”

Although we cannot do away with these individual differences, awareness of their existence is the first critical step in reducing problems caused by them. A prudent leader might ask a series of questions such as the following:

- Do I have the same motives as my followers?
- Might our value differences affect how they interpret a directive?
- Can I mentally put myself on the receiving end of my messages and see how I might react, say, as a 22-year-old whose world does not revolve totally around this organization?
- Because of my age or education, do I use terminology that is inappropriate to the intended receiver?”
- Do differing role expectations between my followers and me cause different interpretations of the same message?

A leader who can assess the potential differences between source and receiver is better able to complete and transmit messages in such a way as to reduce the possible gap between the intended and perceived message.

⁸¹ From *Organizational Behavior and Performance*, by J.M. Ivancevich, A.D. Szilagyi and M.J. Wallace, Jr., p. 401. Copyright © 1977 by Scott, Foresman and Company. Adapted by permission.

Nonverbal Communications

Differences between intended and perceived meaning of a message often result from the complexity of the message channel itself. Recall that the sender chooses various symbols to represent thoughts and ideas and tries to arrange these symbols in a way that makes sense and will be accurately perceived by the receiver. Too often we think of the message only in terms of the words we use. Actually, the verbal portion of a message constitutes only a small portion of the total message content. Albert Mehrabian, an authority in the field of nonverbal communications, has investigated the relative significance of the different components of a message and finds that the total impact of an oral communication is 7% verbal, 38% vocal, and 55% facial.⁸² In written communications such as this text, the words we select and how we group the words are extremely important as they stand alone in terms of message content. The reader can go back and reread passages, stop and think about the content, and even makes notes or underline key ideas. In face-to-face communications, however, the actual words themselves constitute only a small portion of the total content. The way that we arrange and present these words (in terms of tone, rate, inflection, pauses, facial expression, and so on) actually provides most of the message's content for the receiver. Sometimes, words themselves cannot stand-alone and are dependent on nonverbal components for true intent. "Isn't this just great," is a statement that could be an honest expression of joy or happiness over a given event. On the other hand, with appropriate tonal inflection, it could be loaded with sarcasm and meant instead to convey disgust or contempt over a distasteful situation. In this case, the source's intent is almost totally dependent on the nonverbal components that accompany the words used.

The study of nonverbal communications has given us some interesting insights into how we communicate with others and what our actions actually convey. There are several nonverbal cues that help transmit our intended meaning. Among these are cues of proximity or spatial distance, posture, facial expression, vocal tone, and appearance or dress. Spatial distance between communicators, for instance, is an important indicator of attitude between source and receiver. In conversation, we tend to stand farther away from people we do not know or do not like and closer to those we do know or do like. Also we tend to maintain more distance between ourselves and a person we perceive as higher in status; a person of high status maintains greater personal territorial access.

Posture also indicates either liking or status. We tend to relax (lean forward, maintain an open arm posture or have direct body contact) with those we like. However, we often become rigid and tense around those of greater status or those whom we perceive as threatening. We tend to relax only to a moderate degree around those whom we consider our peers. Those who perceive themselves as higher status generally are much more relaxed in posture than lower status persons. Strutting, expansiveness, standing (when others are sitting), and hands on hips are all nonverbal cues of high status persons. In addition, we reflect our responsiveness in a communicator interchange through spontaneous gestures, by shifting position and by moving closer to the other person.

Under facial cues, eye contact can indicate the degree of liking as can a positive facial expression. We tend to maintain eye contact with those we like and avoid contact with those we dislike. Further, high status persons exhibit less eye contact than lower status persons.

⁸² Mehrabian, A., "Communication Without Words," *Psychology Today* (Ziff-David Publishing Co., 1968), pp. 52-55.

Eye contact in combination with facial expressions allows us to transmit cues of responsiveness. Vocal cues also contribute to messages of liking, status, and responsiveness. Lower status persons tend to have lower voice volume than do higher status persons. Finally, our dress sends a powerful nonverbal message. High status persons may display appropriate ornaments, as in the military, or subtler outward signs such as the current executive style of clothing. A summary of cues and nonverbal indicators is shown in Figure 41.⁸³

In the communication process between two people these nonverbal indicators are critical. Although often unaware, we actually look for these indicators as we listen to the message. If the nonverbal component of a message supports the verbal portion, it can reinforce the intended meaning of the message and assist the receiver in properly decoding the message. However, if we say one thing, but nonverbally transmit another, the receiver tends to give more credence to the nonverbal components. The leader who in an apathetic monotone voice exclaims, “This is important,” clearly betrays his intended message. Further, the credibility of a source can diminish if they’re frequently perceived as sending contradictory messages.

Leaders can use nonverbal communications to enhance communication. For instance, consciously manipulated spatial distance, posture, and eye contact can reinforce the content of an intended message. By practicing appropriate gestures, meaning can be reinforced for the receiver. Also, an awareness and critical self-analysis of the nonverbal aspects of communications by the source of the communication reduces message ambiguity to the followers.

In discussing how to improve communication skills, we normally concentrate on the behavior of communication sources. Of equal or even greater importance, however, is the impact of the nonverbal communications on the leader as a receiver in the communication process.

The leader who is an ineffective receiver may fail to gather critical feedback and thus reduce the ability to control the communication process. For instance, when a follower responds to a question by stating in a monotone voice, “Things are fine,” with head down and a slight frown, a response should be triggered. Is the nonverbal portion of the communication undermining the reassuring words? In communicating orally with others, we need to focus attention on the total message—the words, the tone, the inflection, the pauses, the eye contact, and so on. Doing this, however, is hard work. Active listening includes total mind and body involvement. In fact, an active listener will sense increased pulse rate, perspiration, and other indications of physical stress.⁸⁴ In addition, actively responding to messages received by returning appropriate nonverbal communications demonstrates that we are listening and receiving messages. Head nods, eye contact, the absence of distracting activity (such as the shuffling of papers, finger tapping, looking at the time) all are nonverbal signs that provide feedback of active listening and interest. Let’s look now at how this theory is brought into action in the workplace in the leader’s role as a counselor.

⁸³ Summary from Mehrabian, *Nonverbal Communications* (Chicago: Aldine-Atherton, 1972).

⁸⁴ Nichols, R. and H. Stevens, “Listening to People,” *Harvard Business Review*, (Sept-Oct 1957), pp. 85-92.

Figure 41. Summary of Nonverbal Cues

Nonverbal Indicators			
	Liking	Status	Responsiveness
Proximity Cues	<ul style="list-style-type: none"> • Closer proximity • Increased touching 	<ul style="list-style-type: none"> • More distance by low status person • Greater territorial access by higher status person 	
Posture Cues	<ul style="list-style-type: none"> • Lean forward • Open arms and body • Direct body orientation • Relaxation 	<ul style="list-style-type: none"> • Hands on hips for higher status person • Relaxation by higher status person • Strutting, expansiveness by higher status person • Standing by higher status person 	<ul style="list-style-type: none"> • Spontaneous gestures • Shifting posture • Proximal movement
Facial Cues	<ul style="list-style-type: none"> • More eye contact • Positive facial expression 	<ul style="list-style-type: none"> • Less eye contact by higher status person 	<ul style="list-style-type: none"> • Expressive face
Vocal Cues	<ul style="list-style-type: none"> • Positive vocal 	<ul style="list-style-type: none"> • Low voice volume by lower status person 	<ul style="list-style-type: none"> • Vocal variety
Dress Cues		<ul style="list-style-type: none"> • Ornamentation with status symbols by higher status person 	

The Leader-Counselor Role

Few leaders in organizations are comfortable with their role as counselor. When a counseling session is held at all, it often becomes an encounter between the leader and the follower that degenerates into advice giving or straightening someone out. As we suggested in the functional description of leadership, however, part of the leader’s role in reaching organizational goals involves evaluating follower performance and developing each follower into a more effective worker. This requires counseling. Generally, if followers believe that the leader has their best interest at heart, they are more likely to contribute willingly to the accomplishment of organizational goals. Also, if followers realize that the leader is concerned with their development, adjustment, and future, then an evaluation of their performance is more likely to be received favorably.

The role of the counselor has been generally defined as helping others help themselves. For the leader, however, we can define this counseling role more narrowly as helping followers to overcome problems that are interfering with the accomplishment of organizational and/or individual goals. In this context, counseling may involve work performance, personal problems that are hindering work performance or career aspirations that will meet organizational and individual needs. Most leaders do not have the expertise or the time to do in-depth career and personal-problem counseling. However, because of their

role, leaders are usually among the first to be confronted with the personal problems of followers as they pertain to present and future performance. Intuitively, some leaders are more effective at counseling than others, just as some people are more effective at communicating than others. Most leaders, however, can profit from a careful look at some of the characteristics, barriers, skills, and limitations that apply to the counseling role of the leader. We will look more closely at each of these.

Characteristics of an Effective Leader-Counselor

There is no single set of attributes that describes the ideal leader-counselor. However, research in this area suggests that there are certain personal qualities that, if mastered, can assist in effective counseling.⁸⁵ Among these are:

1. *Self-Awareness*. Self-awareness is a characteristic that allows leaders to gain a greater understanding of themselves. A leader possessing self-awareness is able to answer two questions: “Who am I?” and “What is important to me?”⁸⁶ The more aware leaders can become of their own values, needs, and biases, the more free they are to assist followers of widely varying lifestyles and values. As self-awareness increases, the leader can view others more accurately and reduce the tendency to project feelings and values on others (advice-giving).
2. *Congruence*. Congruence is a characteristic that provides consistency between the leaders’ statements and actions. Simply stated, being congruent means practicing what we preach. A leader-counselor whose expressed values and subsequent behavior correspond commands much greater credibility than does an individual who says one thing and does another. The basis for this congruence, of course, is self-awareness—that is, we must first understand our values, needs, and feelings if we are going to make our behavior correspond.
3. *Respect for Others*. This quality includes a belief that followers are responsible for their actions and that it is important to allow them to maintain that responsibility. When someone is in a position of authority (as is a leader) there is a tendency to project values and ideas across a wide range of relationships. The leader should serve to focus on issues and to remove obstacles but not to dictate solutions.
4. *Honesty*. Fundamental to all effective helping relationships is trust. A way to build trust is to be honest when counseling followers. This means that leader-counselors are open and straightforward in their observations of others and at the same time are willing to admit their own limitations. It also suggests a willingness to confront individuals when their performance is lacking rather than passing out vague praise. Honesty does not necessitate brutal frankness. Strategies will be discussed in this lesson that will assist the leader in being honest without necessarily being inhumane.

⁸⁵ Carkhuff, R., *Helping and Human Relations*, 2 vols (New York: Holt, Rinehart and Winston, 1969).

⁸⁶ Brammer, Lawrence M., *The Helping Relationship: Process and Skills*, 3rd ed., ©1985, pp. 111-112, Adapted by permission of Prentice-Hall, Inc., Englewood Cliffs, N.J.

These characteristics, of course, are developed over a lifetime but are easy to learn once the leader realizes their importance to effective communications and counseling. But these skills are not the only obstacles to overcome. Read on to better understand this interesting environment.

Barriers to Effective Counseling

There are several barriers that tend to interfere with the leader's role as a counselor. For instance, the fact that a leader is in a position of authority makes it especially difficult to establish an effective counseling relationship with a follower. The leader is obviously in a position to dramatically affect a follower's future through the performance appraisal system. Any personal weakness that the follower admits as part of the counseling process may be seen as the difference between being promoted and not being promoted. Although it is difficult to eliminate this barrier completely, it can be lessened if the leader deemphasizes the evaluative role of leadership by demonstrating genuine concern. A foundation of trust will lead to openness in the counseling situation. For instance, if the follower has experienced performance counseling that emphasizes development rather than evaluation of past performance, the likelihood of openness during personal counseling increases.

Another barrier to effective counseling is the tendency of leaders to advise.⁸⁷ Part of being a leader is making decisions. If a leader carries this decision-making approach into a counseling situation, however, little long-term improvement is generally seen. Advice, even when asked for, is seldom followed. When followed, it tends to decrease the self-reliance of the counselee. That is, the solution becomes the leader's rather than one determined by the follower. This barrier can be lessened if the leader learns to listen actively, a technique to be described in the next section.

Cultural, age, and/or gender differences as well as differing value systems may also create barriers. An approach by the leader that emphasizes trying to understand the follower's situation (empathy) rather than immediately placing value judgments is normally useful in decreasing such barriers.

Safe Counseling Strategies for the Leader

Some counseling skills, such as diagnosis and interpretation, take a long time to acquire and can actually be dangerous if practiced by persons not adequately trained. Leaders, for example, who attempt to discover the real problem by exploring a follower's childhood are likely to be overstepping their qualifications. However, it has been found that there are certain elementary skills that can make counseling more effective and, in the case of leaders, help them to overcome the inherent barriers listed in the last section. These safe skills can be acquired by the leader with relatively little training. They are safe in the sense that their use will facilitate the helping process whether or not the counselor is professionally trained. Among these safe skills are active listening, questioning, understanding and reflecting feelings, and problem solving.

Active Listening. As discussed above, active listening means receiving the total message of the person being counseled. It involves getting beyond what the person is saying and trying to understand what the person means. One aspect of active listening is paying

⁸⁷ Ayres, D.B., *Monograph II: The Counseling Function of the Leadership Role* (Ft. Benjamin Harrison: U.S. Army Administration Center, 1978), p. 14.

attention or attending. Attending has been called “a kind of oil that lubricates the entire communication process.”⁸⁸ Basically, *attending* means giving full attention to the counselee and explicitly communicating that attention. People like to be understood by others and attending helps meet that need.

One expert points out that attending behavior consists of three components: 1) being relaxed, 2) maintaining eye contact, and 3) verbal following.⁸⁹ If the counselor is relaxed it will help the counselee to relax. Being relaxed also allows the counselor to devote more attention to what is happening within the counselee. Eye contact should be natural, not a fixed stare. As we learned in the discussion of nonverbal communication, much communication occurs via the eyes. If the counselee can never obtain eye contact with the counselor or if the counselor’s eyes wander about, lack of interest is nonverbally communicated. Finally, attending includes verbal following—responding to what the counselee says rather than jumping to new topics or randomly asking questions. This skill is particularly useful during problem-centered counseling.

Attending skills communicate to the follower that the leader is listening. From time to time, however, the leader needs to check the understanding of what the counselee is saying. We’ve learned that a common misconception many people have is that they understand the statement the other person intended to communicate. The only way for a counselor to be sure is to check this out—that is, to state in his or her own words what is understood thus far. This restatement, termed *paraphrasing*, involves listening to the basic message of the counselee, concisely restating the message, and looking for cues that the paraphrase is accurate. Although paraphrasing may seem artificial at first, it is worth the effort to learn how to do it naturally. An accurate paraphrase clearly demonstrates listening. It also requires the leader to pay close attention to the other person.

Questioning. Generally speaking, questioning is one of the most overused and misused techniques in counseling (advice-giving running a close second). Questions certainly do have a place in the counseling process, but they must be used with forethought. A constant stream of questions from the leader tends to aggravate the power differential already present. That is, continual questioning communicates, “I’ll ask the questions, you give me answers, and I’ll tell you what to do about your problem.” This approach, though perhaps useful in medicine, is not very successful in counseling as it emphasizes a passive role for the follower. If the goal is to help followers help themselves, followers need to become as active as possible.

Questions generally should be open rather than closed. An open question is one that will elicit more than a simple “yes” or “no” response. For example, in career-development counseling, the question “What do you think is your greatest strength?” is an open question. On the other hand, “Do you think that hard work is your greatest strength?” is an example of a closed question. Using open questions usually results in a more complete discussion of the issue and involves the follower. One other important consideration in questioning is that the follower should be given a chance to fully respond to the question before the leader jumps in with the “correct” answer. Follow-up questions such as “Tell me more about your feelings on that issue,” are sometimes useful.

⁸⁸ Egan, G., *You and Me: The Skill of Communicating and Relating to Others* (Monterey, CA: Brooks Cole Publishing Co., 1977), p.109.

⁸⁹ Ivey, A.E., *Microcounseling: Innovations in Interviewing Training* (Springfield, Ill.: Charles C. Thomas, 1976), p. 149.

Understanding and Accepting Feelings. In many situations, followers' problems involve strong feelings. Usually, before a leader can help a follower problem solve, it is necessary to first deal with these feelings. This involves hearing feelings behind a counselee's words, helping the counselee clarify those feelings and then communicating that the feelings are understood and accepted. Actively seeking to understand the problem from the follower's point of view keeps the leader from trying to solve the problem before it is understood. The simple comment, "Your expression tells me that you feel very strongly about this issue" tells the counselee that the true gravity of the problem is understood. The emphasis in using this skill should be on understanding rather than evaluating.

Problem Solving. The previous skills are primarily directed at helping followers obtain a clearer understanding of the issues and problems they may have. There are times, however, when understanding the problem is not sufficient. That is, the leader may need to assist the follower in changing behavior. For instance, in counseling centered on performance, the follower may need some assistance in changing unsatisfactory behavior such as repeated tardiness. Similarly, in counseling concerning a personal problem such as the inability to manage financial affairs, the follower may need some assistance in financial planning in order to change a pattern of repeated indebtedness.

A problem solving sequence that can be used in a variety of counseling situations is shown below.⁹⁰ Depending on the complexity of the problem, of course, this sequence can be modified by the leader.

1. Establish a relationship that gets the follower involved in the problem solving. (Your goal is to get him or her to do most of the talking and problem solving. Your role is to guide him or her so he or she ultimately learns to resolve his or her own issues.)
2. Have the follower state and clarify the problem and then determine goals. What specifically needs to be changed? (Again, you may need to guide them through this step.)
3. Help the follower determine and explore alternatives to his or her problem by:
 - a. Gathering relevant information.
 - b. Exploring implications of the information and consequences of the alternatives.
 - c. Clarifying values that underlie personal choices. (Followers must be able to verbalize their desires and the order in which they value these desires.)
4. Assist the follower in re-examining the goals, alternative choices, risks, and consequences prior to making a final decision.
5. Allow the follower to decide on one of the alternatives and formulate a plan, or course of action, for implementing that decision.
6. Over time, monitor the follower as he or she tries to implement the decision with periodic re-evaluation in light of new information and changing circumstances.

⁹⁰ Brammer, *op. cit.*, p. 134

7. Help the follower learn from this experience and generalize the process to new life situations.

For followers who merely need to solve the problem of tardiness, of course, this process can be greatly simplified. However, where financial management is concerned, the full spectrum may be necessary. If a leader assists followers using this problem solving approach, the outcome should be not only appropriately resolved problems but also followers who are more capable of solving their own problems in the future.

The Limits of the Leader-Counselor Role

As previously mentioned, generally the leader has neither the expertise nor the time to engage in in-depth counseling. This is particularly true for problem-centered counseling but may also be true for career development and performance counseling.

In personal crisis situations such as marital problems or drug and alcohol abuse, for instance, counseling by the leader should be directed toward referral to another helping agency. Perceived personality problems should likewise be referred. Knowing when and how to refer is an invaluable tool for the leader as it can save valuable time and avoid frustration or even legal complications. As much as possible the leader should think in job terms rather than in personality terms.⁹¹ For example, if a follower has an annoying personality quirk that is hampering performance, the leader should counsel the follower on the consequences of continuing such behavior (for the job) rather than try to rework the person's personality. That is, the leader should let followers know when they may be handicapped for certain jobs or advancement because of a particular deficiency. and let the follower make the decision of what to do about it.⁹²

If the referral is done well, the follower can receive competent professional assistance while ultimately enhancing his or her relationship with the leader. A poorly handled referral may convey the message that the follower is too hot to handle or that the leader is disinterested or too busy to be concerned with the problem. One author has provided the checklist of principles for referral shown in Figure 42.⁹³ This checklist may be useful in helping the leader to make referrals.

Rather than trying to hard sell another helping agency, the leader should communicate that the referral is in the follower's best interest. It is important to make very clear what can be expected from an agency so that the counselee does not go to the referral agency with unrealistic expectations and then blame the leader when things do not work out well.

Referral agencies should not be looked upon as the course of last resort. They can be used effectively by leaders to enhance their problem-solving capability and to conserve time for other responsibilities. The key for the leader is Step 1 in Figure 42: to learn the local resources that are available and what they can do.

⁹¹ Kellogg, M.S., *What To Do About Performance Appraisal?* rev. ed. (New York: AMACOM, 1975), p. 76.

⁹² *Ibid.*

⁹³ Adapted from Brammer, *op. cit.*, p. 123

Problem-Centered and Career-Development Counseling

To this point we have discussed several aspects of the leader-counselor role that are applicable across the entire range of counseling situations the leader may encounter. Counselor characteristics, barriers to effective counseling, safe strategies, and limitations apply whether the counseling situation is one of helping the follower with a personal problem that is interfering with performance (problem-centered counseling), helping the person plan for the future with the organization (career-development counseling), or helping the person perform more effectively (performance-centered counseling). It is important to note that these counseling categories are not mutually exclusive. That is, often a leader begins counseling a follower concerning a performance deficit only to find that a personal problem is at the core. Similarly, counseling that involves career development is clearly dependent upon present performance and future potential with the organization as well as upon personal considerations of the individual. In this section we will examine certain considerations peculiar to problem-centered and career-development counseling. Performance-centered counseling will be discussed in the next section.

Considerations for Problem-Centered Counseling

A follower who needs help may come directly to the leader or the need may be indicated through his or her behavior.. Usually, if a problem is sufficiently serious to be brought to the leader, it needs to be addressed right then. Sometimes counseling sessions may take place in the hallway or in the elevator as opposed to the leader's office. Many problem-centered counseling sessions, therefore, cannot be carefully planned. Nevertheless, it is important that the leader conveys to the follower, verbally and nonverbally, that the plea for help is heard. Early in the session, however, the follower must be made to understand the limits of the leader's confidentiality. Since leaders generally do not have the unrestricted confidentiality of a lawyer or a doctor, the leader needs to communicate to the follower what can and cannot be kept confidential. Disclosing this information, of course, may have some implications for the ability of the leader to develop the necessary trust relationship for effective counseling.

Trying to understand the individual's perception of the problem is critical. This requires empathy. By employing active listening and the questioning skills discussed earlier in this lesson, the leader can listen for the feelings that are involved in the problem as well as the content. Active listening can help the follower become more self-aware concerning all the aspects of the problem, and it helps the leader ensure that the nature of the problem is understood prior to helping solve it. Effective questioning, in turn, can ensure that the leader understands the full nature of the problem rather than merely the tip of the iceberg.

Sometimes all that a follower needs from problem-centered counseling is increased self-understanding. After someone really listens and the counselee feels understood, things may just fall into place. Frequently, though, the counselee may need help in solving a distressing problem or in reaching a particular goal. At some point the leader needs to determine whether he or she has the capability to assist the individual further. If the problem is relatively minor, the leader can employ the safe skills described earlier. If the leader determines that the personal problem is beyond his or her capability, in terms of skills or time, a referral may be in order (see Figure 42).

Figure 42. How to Refer

1. Know the local resources that are available. If possible, visit these resources and establish contacts. Try to determine the strengths and limitations of each agency.
2. When a referral is necessary, be honest with the follower concerning your limitations as a counselor. State what you have observed that indicates that the individual needs further help. You might say, "Let's take a look at other resources that may help you in this situation."
3. If the follower indicates a readiness for referral, describe the resources that are available. Do not promise miracles, but do let the follower know what can reasonably be expected from a particular agency.
4. Discuss the possibility of referral with the referral agency before the problem becomes urgent. Do not release personal information to the referral source without written permission from the counselee.
5. Give counselees the opportunity to make their own appointments. It helps them take responsibility for the visit to the referral agency.
6. Maintain your counseling relationship with the individual until the referral is complete.

Considerations for Career-Development Counseling

The focus of career-development counseling is on potential and the future. The leader's function in career-development counseling, therefore, is to provide relevant information on opportunities and potential and to tie the follower's goals to the needs of the organization. In doing so, all the counseling skills described in the first part of the reading are applicable. In career-development counseling, as with all counseling, the follower must be made to accept primary responsibility for determining the future. Any suggestions or advice given by the leader should be offered tentatively. Nevertheless, there are some specific things the leader can do to enhance a career-development counseling session. The first is to be thoroughly familiar with career option information. Some organizations have generalized programs, while others, such as the U.S. Army, have carefully detailed analyses of career options in all specialties.⁹⁴ These analyses not only define career paths but also identify required preparatory schooling and assignments and present a proposed schedule of career timing.

An optimal time for career-development counseling is in connection with performance appraisal. During performance appraisal, a dialogue can be initiated that contains the follower's career goals, aspirations, and expectations; the leader's view of the opportunities available and the degree to which the follower's aspirations are realistic; identification of what the follower will need to do to qualify for new opportunities; and identification of the next steps in the career sequence.⁹⁵

As is apparent, these topics lead naturally to the question of how the follower is doing in the present job and what he or she needs to do in terms of performance to ensure the next step in the career-development sequence.

⁹⁴ Headquarters, Department of the Army, PAM 600-3, *Commissioned Officer Professional Development and Utilization* (Wash. D.C., 1 Sep 1977) and AR 611-201, *Enlisted Career Management Field and Military Occupation Specialty* (Wash, D.C., 1 Oct 73).

⁹⁵ VanMaanen, J. and E. Schein, "Career Development," in *Improving Life at Work*, eds. J.R. Hackman and J.L. Suttle (Santa Monica, Cal.: Goodyear Publishing Co., 1977), pp. 85-86.

Performance-Centered Counseling

Herbert Meyer, a pioneer in the field of performance appraisal and counseling, has stated, “Objective evidence has shown that [performance-centered counseling sessions] seldom have the positive effect attributed to them.”⁹⁶ The primary reason for this disappointing assessment is that performance-centered counseling is really only part of an organization’s overall performance appraisal system—the part in which the leader communicates the appraisal, or evaluation, to the follower. The other part of the system is the appraisal process itself—the actual evaluation of the follower’s performance. If the performance appraisal system is to be effective—that is, developmental in nature—evaluation of performance must be accurately communicated to the employee. However, the process of communicating an evaluation (performance-centered counseling) typically raises all of the issues concerning the defensiveness discussed above. As one researcher points out, the fundamental flaw in combining evaluation with development through counseling is that evaluation compels the boss to behave toward the employee in a “threatening, rejecting, and ego-deflating manner.”⁹⁷

As we have pointed out, however, the process does not need to be threatening. Although evaluating and developing cannot be disassociated, it is possible to direct the emphasis of the performance counseling effort away from evaluating and toward developing followers by employing certain techniques in appraisal and counseling. The remainder of this section will examine the goals, techniques, and problems associated with establishing a performance appraisal system oriented toward individual development.

A Performance Appraisal System

In designing an effective appraisal system, several questions must be answered:

- What is the purpose of the appraisal?
- Who should do the appraisal?
- When should the appraisal be done?
- How should the appraisal be accomplished?

Concerning the question of purpose, we note that performance appraisal systems have been called upon to carry out many functions. Among these are providing input to the organization for personnel decisions (promotion, transfer, separation); evaluating the relative contribution of workers; determining training and development needs; giving feedback to workers answering the questions, “How am I doing?” and “Where am I going?”; making reward decisions; and motivating workers to improve performance.

⁹⁶ Meyer, H.H., “The Annual Performance Review Discussion—Making It Constructive,” *Personnel Journal*, 56, (October 1977), p.508

⁹⁷ Likert, R., “Motivational Approach to Management Development,” *Harvard Business Review*, 37, (July-August 1959), p. 75.

As we have suggested, many organizations try to make a single appraisal system accomplish several of these tasks at once. For instance, the stated functions of the Officer Evaluation Reporting System used by the U.S. Army include providing information for officer personnel decisions, encouraging professional development, and enhancing mission accomplishment.⁹⁸ As indicated earlier, however, researchers have found that a performance appraisal system used simultaneously as an evaluative and developmental tool usually accomplishes neither very well.⁹⁹ The reason, of course, is that development requires accurate assessment of performance and potential as well as honest and open communication. Evaluation, on the other hand, generally causes defensiveness, which constrains communication between leader and employee and tends to present a false picture of actual performance because of inflated ratings.¹⁰⁰ Therefore, if an appraisal interview is evaluative and threatening by nature, development is probably not feasible. Even the approach of separating the evaluation and developmental aspects in time (but still using the same appraisal instrument) provides little improvement. In short, a comprehensive appraisal system that attempts to do all things is of little value to anyone.¹⁰¹ Therefore, the leader must first choose the purpose of the appraisal. Is it to be evaluative? Is it to be developmental? As we have suggested, we propose that the emphasis be given to the latter.

Once we decide the purpose of the appraisal system, the remaining questions—Who? When? How?—become matters of procedure and a philosophical approach. We will first talk about how the appraisal should be accomplished. The questions “who?” and “when?” will be discussed later.

One author has proposed the following four-stage procedure for developing a performance appraisal system:¹⁰²

1. Plan work and set standards.
2. Observe work and collect information.
3. Determine and appraise results.
4. Discuss the appraisal with the worker and plan for the next work period.

As indicated, this procedure is cyclical—the results from one appraisal period feed into the next planning session. Although this procedure seems straightforward, few organizations actually employ anything so systematic. If they are accomplished at all, the first three steps are often done in a haphazard manner; often the criteria used for appraisal are subjective in nature; and the appraisal form may be pieced together retrospectively a few

⁹⁸ U.S. Department of the Army, “The Officer Evaluating Reporting System In Brief,” Department of the Army Pamphlet 623-105 (Washington, D.C.: U.S. Government Printing Office, June 1979).

⁹⁹ Meyer, H.H., E. Kay and J.R. French, “Split Roles in Performance Appraisal,” in *Readings in Interpersonal and Organizational Communications*, eds. R.C. Huseman, M. Logue and D.L. Freshley (Boston: Holbrook Press, 1973), p. 376.

¹⁰⁰ Lonergan, G., “Performance Appraisal,” in *Encyclopedia of Professional Management*, ed. Lester R. Bittel (New York: McGraw-Hill, 1978), p. 48.

¹⁰¹ Meyer, et al., *op. cit.*, p. 369.

¹⁰² Brown, L., W. Haun, and A. Hybl, *Performance Appraisal: Responsibility and Opportunity* (Beverly Hills, Cal.: Roundtable Films), p. 8.

days before the performance-centered counseling session (often, under great pressure from higher leadership). Add to this the fact that the counseling session itself is generally very stressful for the leader and employee, and it is little wonder that little substantive improvement results.

We will address in some detail the first three stages of the appraisal system next discussing appraisal techniques as well as the counseling session separately in later sections. However, before we can begin, we must address certain essential assumptions about human nature upon which this section is based (the philosophical approach previously noted). The first of these assumptions is that followers function best in an atmosphere of genuine participation. Some modifications of this assumption have to be made for new employees or during crises, but generally the evidence supports this assumption.¹⁰³ The second assumption is that Douglas McGregor's Theory Y premises are true: followers at all levels have a need to achieve; high standards are important to the follower; and most people have the capacity for self-discipline and self-control.¹⁰⁴ These assumptions lead us to the conclusion that workers must be involved in all phases of the appraisal process if the system is to work effectively. Given these assumptions, the four-stage sequence shown earlier lends itself to improving performance and developing employees at the same time. That is, by focusing on present and future performance, rather than past failings, the drawbacks cited in our earlier discussion about existing appraisal systems that try to do more than one thing can be circumvented. With this in mind, we will examine more closely the first three stages in the process of developing an effective organizational performance appraisal system.

1. *Planning Work and Setting Standards.* In one sense the work done in this stage is actually pre-appraisal. In fact, it lays the groundwork for the appraisal that follows. If this stage is accomplished in a thorough fashion, with active participation by the employees, later stages will be enhanced.

When an employee arrives in an organization, there needs to be a brief time in which to allow the individual to adapt to the new environment—to become socialized. However, before a great deal of time has lapsed, the leader and the worker need to get together and carefully clarify the functions and responsibilities of the employee. Although it would be unrealistic and probably unprofitable to discuss every aspect of the employee's job at this time, all major responsibilities require exploration. In addition, the leader and the employee need to agree on the relative importance of each of the major duties and the degree of responsibility and authority that the employee has with respect to each major task. The employee needs to see how the accomplishment of duties contributes to the accomplishment of overall organizational goals.¹⁰⁵ Also, it is important that the he or she be shown any rating forms that will be used in the appraisal process. The leader needs to take time to explain how these forms fit into the overall appraisal process.

After responsibilities and priorities have been defined, recognizable goals need to be established in relation to each major duty. High but realistic goals, backed by clear standards of performance, stand the best chance of being achieved. As much as possible, measures should be used that are objective in nature and linked to specific behaviors. For example,

¹⁰³ Meyer, et al., *op. cit.*, p. 369

¹⁰⁴ McGregor, D., *The Human Side of Enterprise* (New York: McGraw-Hill, 1960), pp. 45-57.

¹⁰⁵ Meyer, H.H., "Feedback that Spurs Performance," in *The Failure of Success*, ed. Alfred Marrow (New York: AMACOM, 1972), p. 213.

telling a worker that initiative is expected is of little value unless initiative is explained in behavioral terms; that is, “What is the worker to do that will indicate initiative to the leader?” Clear performance standards reduce the ambiguity of the task and, therefore, the anxiety level of the worker.

It is unrealistic, however, to expect all aspects of the job to be made purely objective. Both leader and follower need to be aware that subjectivity will exist in the appraisal process and be sensitive to its impact when appraising another’s performance. One way to minimize subjectivity is to take into account more than just the performance targets that have been outlined with the employee. To some extent, the employee needs to know how the leader expects duties to be accomplished. This does not mean that the leader prescribes the method of accomplishment of all the major tasks. However, it does recognize that most leaders put just as much weight on how a task was accomplished as what was accomplished.¹⁰⁶ In effect, the leader needs to provide the employee with a dynamic job description that is behaviorally oriented as well as results oriented.

As part of the first stage, the leader and employee need to establish checkpoints and ways of measuring progress that set the stage for future interaction in which the leader can perform a coaching function.

2. Observing Work and Collecting Information. If the first stage has been completed in a conscientious fashion, the second stage follows naturally. Based on the responsibilities and priorities agreed upon earlier, the leader can observe the employee’s efforts in meeting specified goals. This observation will allow future appraisal to be based on specific behaviors rather than on personalities. It is helpful for the leader-counselor to note and record critical incidents that are indicative of performance as a whole.

Although it is important to allow the follower leeway in completing tasks, providing feedback is useful, especially if it is immediate and explicit. This is particularly important with newer or inexperienced employees.¹⁰⁷ The focus of feedback should be on what can be done to improve results rather than on what went wrong, although on-the-spot corrections are sometimes necessary. In a sense, this feedback is a way of coaching the follower. Even if the first stage in the appraisal process was done well, there will still occasionally be a need to clarify duties, expected results, and standards.

3. Determining and Appraising Results. The third stage, appraising performance, involves placing a value on the work that a follower has done. Here, again, comes the difficult portion of the normal appraisal processes—the part that leaders are often reluctant to perform. Note, however, that if the first two stages of the four-stage process have been followed, the actual placement of value is of little surprise to anyone—hence, the threat associated with the appraisal is reduced significantly. Subjects of interest in this stage include our earlier questions. Who does the appraising? When is the appraisal done?

It is important that whoever appraises an employee’s performance is not only known to that employee in advance, but also has frequent opportunity to observe performance. This insures that the appraiser is able to note typical performance and to determine trends in performance as well. Normally, both formal and informal appraisals are handled by the immediate supervisor who is in a position to tie the worker’s performance to organizational

¹⁰⁶ Levinson, H., “Appraisal of What Performance?” *Harvard Business Review*, 54, (July-August 1976), p. 30.

¹⁰⁷ Kellogg, *op. cit.*, p. 33.

goals and to organizational rewards.¹⁰⁸ Some organizations use more than one boss to appraise a worker's performance; a practice that helps offset the possible bias resulting from using a single observer. A few organizations have incorporated peer ratings into the appraisal process as well. Research into the use of peer ratings indicates that a high level of trust and frequent contact must exist if this approach to appraisal is to be successful.¹⁰⁹

If the emphasis of the appraisal is on development or behavior change, supplementing the leader's rating with the follower's self-ratings also can be useful.¹¹⁰ A method that has achieved some success is to have workers complete a self-assessment on whatever appraisal instrument is being used prior to the performance-centered counseling session.

In general, more frequent feedback sessions are better than ones spaced further apart. The annual or semi-annual formal appraisal system used by many organizations has limitations. For instance, there is a tendency when only appraising once a year to over-emphasize recent behavior. Also, if a leader is rating several workers at once, the temptation to get it over with leads to inaccurate appraisals. In addition, an annual appraisal may or may not fit a task cycle. That is, a worker may be in the middle of completing a major task at the time of the appraisal. Nevertheless, there needs to be some time when a leader and follower can sit down and discuss performance as a whole. Although immediate feedback is useful concerning the specifics on a job, the larger picture needs to be examined from time to time. Because of the administrative aspects of the formal appraisal system, it is often not feasible to have formal appraisals on a frequent basis. It is recommended, therefore, that the formal appraisal sessions be supplemented with frequent informal appraisals of the daily coaching variety or in conjunction with the completion of a specific task.

Discuss the Appraisal with the Worker: The Performance-Centered Counseling Session

The performance appraisal system is of little value in development if the results are not effectively communicated to the worker (the final stage of the four-stage performance appraisal process). However, we are reminded again of the dilemma of the performance-centered counseling session (sometimes called the appraisal interview):

Probably no other area of management is so fraught with anxiety on the part of both leaders and followers and has so much potential for either positive or negative consequences in terms of morale, motivation and development.¹¹¹

In other words, performance-centered counseling can be a powerful leadership tool if used well or a potentially harmful one if handled carelessly.

As previously indicated, what the leader sees as the purpose of the appraisal interview will greatly affect the outcome of the session. If it is seen as an opportunity to help develop workers based on what has been observed of their performance, it will take a much different track than if the session focuses on inadequacies in employees' performance. Workers do like to know where they stand. The way that information is communicated, though, can lead

¹⁰⁸ Glueck, W.F., *Personnel: A Diagnostic Approach*, rev. ed. (Dallas, TX: Business Publications, 1978), p. 269.

¹⁰⁹ *Ibid.*

¹¹⁰ Carroll, S.J. and L. Tosi, *Organizational Behavior* (Chicago: St. Clair Press, 1975), p. 288.

¹¹¹ French, W., *The Personnel Management Process*, 3rd ed. (Boston: Houghton Mifflin, 1974), p. 381.

to improved performance and open communication channels or to poor morale, a decrease in performance and a lack of worker commitment to the organization.

Part of the reason for the difficulty in performance counseling is that leaders and followers usually do not see eye-to-eye on the follower's performance. In one major study, 75 of 92 workers rated their performance more favorably than did their leaders (in fact, only 2 out of 92 estimated their performance to be below the average rating for the group).¹¹² With this built-in lack of agreement inherent in the appraisal interview, the basic approach to conducting a counseling session becomes important. For instance, a leader who needs a great deal of control during the performance interview will more than likely dominate the discussion. In this tell-and-sell approach, the leader communicates the appraisal and then attempts to convince the worker of its appropriateness.¹¹³ This approach has value when the leader merely wants to transmit information and a high level of acceptance is relatively unimportant. It also is useful with workers who are new to an organization. However, when the objective of the counseling session is to encourage the worker's development, enhance upward communication, or to utilize followers' ideas, this method is generally counter-productive.¹¹⁴

A different approach is one in which the employee shares responsibility for the interview with the leader. This approach is characterized by the leader minimizing the power differential and striving instead for mutual problem solving. Such an approach transforms the interviewer from judge to helper.¹¹⁵ Since this approach has shown the most success in stimulating individual development and performance, we will focus on it as a vehicle for discussing the counseling process itself.

Performance-Centered Counseling Techniques. If responsibility for the counseling session is to be shared, both leader and follower must prepare for the appraisal. This can best be accomplished if the worker is notified far enough in advance of the purpose of the interview. Notification should not only specify date, time, place, and purpose but also what the worker needs to do in order to actively participate during the counseling session. At a minimum, the worker needs to review the mutually agreed upon standards of performance from Stage 1 of the appraisal process. A set of questions to be discussed might also serve a useful purpose, as will a recollection of past appraisals or agreements.

The performance counseling session, as any counseling session, is best conducted in a place that is private and free from distractions. Instructions not to be disturbed or withdrawal to a secluded place will help. Having an interview constantly interrupted by phone calls or other distractions communicates to the worker that the interview is of secondary importance. Also, sufficient time to completely conduct the session is critical. A counseling session suddenly called off for another appointment communicates similar disinterest.

More important than the setting, however, is the basic approach of the leader. For instance, it is important to reduce the anxiety that the worker almost inevitably feels in any counseling process. This is best accomplished by decreasing authority barriers. Such actions as moving from behind a desk during the interview and sitting in an open, non-threatening posture help disarm the situation. Small talk tends to make most workers uncomfortable. It is more helpful for the leader to state the purpose of the interview and to quickly identify the

¹¹² Carroll and Tosi, *op. cit.*, p. 206.

¹¹³ Maier, N.R.F., *Psychology in Industrial Organizations*, 4th ed. (Boston: Houghton Mifflin, 1973), p. 554.

¹¹⁴ *Ibid.*

¹¹⁵ *Ibid.*, p. 559.

mutual interest—the development of the worker. Practicing the basic counseling skills mentioned earlier in this lesson, especially active listening, will help the interview begin smoothly.

After establishing the purpose of the interview, it is helpful for the leader to briefly review the objectives that were set at the beginning of the appraisal period. The worker's thoughts on how well he or she has done regarding those objectives are also useful. By using active listening techniques and open-ended questions, the leader can assist employees in expressing ideas on their performance. Employees should also be encouraged to give suggestions for changes or improvement.

When the leader begins the actual appraisal, it should begin with specific positive results. When pointing out deficiencies, one or two should be selected, followed by a translation of these deficiencies into goals. Goal setting can be facilitated by focusing on the demonstrated strengths of the worker. Criticism may be necessary. However, research on criticism has shown the following:

- Constructive responses to criticism were rarely observed.
- Above-average amounts of criticism were correlated with a great increase in defensive behavior.
- A large amount of criticism undermined self-esteem enough to disrupt subsequent performance.¹¹⁶

Can criticism be used effectively? The answer is a tentative “yes,” if the leader does not overwhelm the follower with every aspect of his or her unsatisfactory behavior. Remarks should be confined to the most important issues. Frequent interim coaching sessions often preclude the need for new criticism. In addition, criticism should be constructive, emphasizing what needs to be done rather than what is wrong. Relating criticism to specific behaviors that a worker is capable of changing rather than focusing on personality traits will also enhance the value of criticism.

If criticism is counterproductive, then surely praise must be of great value. Research indicates otherwise. The amount of praise given during a performance counseling session has been shown to have little effect on future performance.¹¹⁷ At first glance this seems to be contrary to common sense. But when we think about our own response to praise, it is common to brush it off or to play it down. Just like criticism, praise is evaluative. When given, praise also needs to be tied to specific behaviors so that the follower can maintain the desired behavior or improve even further. “You’re doing a great job!” is too general for the follower to act upon.

It is useful for the leader to examine only a few of the worker's responsibilities in-depth rather than run superficially through every aspect of the appraisal. When a few specific areas in need of improvement have been isolated, the leader and the follower need to work together on generating alternative solutions. The leader should encourage the follower to participate throughout the session in order to increase the likelihood that the follower will

¹¹⁶ Meyer, H.H., “Feedback that Spurs Performance,” in *The Failure of Success*, ed. Alfred Marow (New York: AMACOM, 1972), p. 205.

¹¹⁷ Meyer, H. H., E. Kay and J. R. French, “Split Roles In Performance Appraisal,” in *Readings in Interpersonal and Organizational Communications*, eds. R. C. Huseman, M. Logue and D. L. Freshley (Boston: Holbrook Press, 1973), p. 369.

follow through on the plans that are made. When disagreement is found in assessment or solution, the leader should handle the disagreement in a rational, problem-solving manner. Arguments or heated discussions rarely produce productive results.

The final minutes of the counseling session are perhaps the most important. Toward the end of a session, workers finally may feel that the leader has their best interest at heart. Just as the individual begins to open up is no time to conclude the interview. Also, the conclusion of the interview is the time when a definite plan of action can be made. There is some controversy over whether it is better to make a detailed plan for the future at the end of the interview or postpone it until a later session. Proponents of the split session feel that the employee is too defensive during an appraisal interview to be able to do much effective planning and that delaying the planning session for a few days allows defensiveness to dissipate.

Whether the appraisal-planning session is split or is conducted in one session, a clear, concise summary of what has occurred during the appraisal session needs to be made, and it should be documented in writing. Ideally, both the leader and the follower should emerge from the appraisal interview with self-esteem intact and their relationship with each other strengthened.

Within a relatively short time it is important that the leader follow-up the appraisal session with another counseling session. If a split session was decided upon, this is a time to complete a plan of action for the next appraisal period. If a plan was decided upon during the initial session, it is a time to confirm the content of that plan and make adjustments as necessary. A follow-up session is a way for the leader to communicate to workers that what was discussed is, in fact, important.

The sequence in a performance-centered counseling interview--from pre-interview activities, initiating the interview, conducting the interview, to the follow-up--applies in nearly all situations. However, there are some differences in emphasis when applying the appraisal process to an ineffective employee.

Counseling an Ineffective Follower. Recall that one of the basic assumptions for the procedure just described was that the worker is interested in contributing to organizational goals. There are times, of course, when an individual's performance indicates that Theory Y assumptions may not be valid. What does a leader do with a follower whose performance is unacceptable? The temptation is to jump in with threats of discipline or actually to pronounce disciplinary action on the individual during the interview. (Discipline in this context means imposing some type of punishment, or threat of punishment, which is intended to improve performance or stop specific behavior.) However, as pointed out in our discussion of rewards and punishment, there are drawbacks to punishment, and it should be used only as a last resort.

In many instances it is possible to employ a modification of the principles discussed earlier. The leader should set up a formal counseling session as soon as unacceptable performance is noted. Again, careful documentation of the performance discrepancies is important.

When the session begins, the leader must level with the worker concerning what unacceptable behavior has been observed. Further, the consequences of continued unsatisfactory performance must be clearly understood. Workers must be given adequate time to describe their side of the story. The emphasis in this session is on how to improve

performance rapidly. An overemphasis of deficiencies may cause the session to end with little time spent on how to overcome the performance deficiencies.

Early determination must be made as to whether performance discrepancies are a result of a skill deficiency or a motivational deficiency. The tendency is for the leader to assume a motivational deficiency. Of course, applying motivational techniques to correct a skill deficiency is of little value. Also, the problem may not just be with the worker. It may be necessary to make organizational changes or perhaps even to alter the leader's behavior to improve the communication of expectations.

Once a reason for the unsatisfactory performance has been determined, a plan for improvement must be worked out together. Realistic, measurable goals need to be set and coaching efforts should increase during the period agreed upon.

If these efforts fail, then disciplinary action against the worker may be necessary. It is important to remember, however, that punishment results in short-term gains at best. The long-term solution may lie in the modified appraisal process just described.¹¹⁸

In our readings in this lesson, we began with a theoretical discussion of moving information from one person to another while retaining the intended meaning. We then applied this theory to the work place, discussing how we, as leaders, communicate in specialized situations with our workers to help them with their problems and improve their job performance. While effective counseling may require a highly trained professional, leaders must have the skills to take care of a wide range of leader-follower training, motivation, and crisis situations. Your ability to successfully accomplish this process will significantly enhance your workers', group's, and organization's ability to accomplish their jobs.

Practical Exercises

Several scenarios will be provided in class depicting a potential workplace situation. For each situation, take either the role of the leader-counselor, employee, or evaluator-observer. You will have a few minutes to digest the information provided. Plan how you will conduct your portion of the role-play during this time. If you are the employee, please make the role-play realistic for the leader-counselor so that he or she can not only practice the safe counseling skills but also develop and process a counseling session. Evaluator-observers should study the feedback sheet and prepare to collect information about the session. After the role-play, the Evaluator-Observer will lead a discussion where the evaluator-observer, employee, and leader-counselors will all have an opportunity to provide and receive feedback about the counseling process.

¹¹⁸ Kellog, *op. cit.*, pp. 1-9.

EVALUATOR-OBSERVER WORKSHEET

Observe the procedures used by the leader-counselor and be prepared to discuss the conduct of the counseling session using the questions listed below. As an opportunity to develop your own skills as a counselor, use the Safe Counseling strategies to facilitate your post-counseling feedback session.

How did the counselor create a comfortable atmosphere and reduce anxiety?

How did the counselor state the purpose of the session?

How did the counselor actively listen?

Occasional paraphrasing, mirroring, echoing?

Emotion labeling?

Minimal encouragers?

Reduce physical barriers?

Summarizing?

Hearing content vs. emotion?

How did the counselor question the employee?

Open or closed ended?

Concise?

Develop full understanding?

Use pauses/silence?

How did the problem-solving phase develop?

Did the employee identify solutions?

Did the counselor use available resources?

Were any referrals to other resources made?

Did the leader employ a follow-up (or split) session?

Was a subsequent session scheduled?

When? Where? Why?

LESSON 24: INTEGRATION III

Introduction

This lesson consists of:

1. Area III Overview
2. Case Study

Assignment

1. **Review** Lessons 1-24.
2. **Read Course Guide**, pages 149-160.
3. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using all applicable theories from the course to date.
 - III. **Explain** an Area of Interest in terms of the theory(ies) you selected in the step above. Discuss how the selected theory is affecting the individual, group, and organizational outcomes. In other words, use the selected theories to explain why individual motivation, performance, and satisfaction; group structural dimensions and performance; and organizational performance are affected.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretically correct leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.

AREA III OVERVIEW

Within Area III, The Leadership System, we examined several approaches to the process of influencing followers. Each theory demonstrated how some combination of the leader, the follower, and the task impact the leadership process. By presenting a variety of approaches, the course aims to help leaders appreciate not only the depth of their impact on their followers but also appreciate the diversity of perspectives and options. Through this process, course participants should be better able to identify and select the leader behaviors that will maximize their personal and organizational performance. More specifically, we accomplished the following:

1. Learned that leadership is an exchange process in our lesson on **Social Exchange—The Bases of Power**. In particular, we viewed leadership as an exchange between the leader and follower where each gained--the leader getting work from the follower, and the follower gaining from the leader's bases of power.
2. Became aware of an individual link, or relationship, between leader and follower called a **Vertical Dyad Linkage**. Here, the leader quickly assesses a follower's attributes and places them into the leader's inner circle where they are accorded special privileges or into the leader's outer circle where they are not.
3. Discovered the interaction of the leader and the group/follower(s) given a situation in **Situational Leadership**. This was our first glimpse at the interaction of all three variables in a relatively simplistic environment.
4. Explored the realm of **Transformational Leadership** where the leader evokes extraordinary performance from the follower(s) by causing them to overlook their personal needs and substitute those of the organization.
5. Added in three critical leader competencies--**Stress and Its Management, Communications, and Counseling Skills** that round out the leader's abilities to enact the theory of this course to date.

In this lesson, we will combine these concepts with those from the Individual and Group Systems to solve problems in a complex police leadership situation.

Case Study

As the new Deputy Chief of South Bureau, your command responsibilities include South Traffic Division (STD), South Bureau Homicide, OSB CRASH, and four of the most active geographic areas in the city. All of these areas include a patrol division, detective division, a vice unit, an endless combination of special task forces, community policing units, and citizens' advisory boards.

The last deputy chief, Paul Moreno, had warned you about the peculiarities of being a bureau commanding officer. "Look," he said, "How can you command hundreds of officers who feel and act as if they don't really work for you? They 'belong' to the individual captains and lieutenant commanding officers. If you want to survive in this position, just view your job as the 'Operations Baby-Sitter.' Make sure your people get what they need to do their jobs, promote and punish when you have to, but don't try anything else."

That strategy worked great for the first three months. At a staff meeting, the chief of police said he had never seen South Bureau run so smoothly. Still, you were disappointed by the lack of camaraderie between your various divisions. When you suggested a picnic for the entire bureau, the captains told you that everyone is too busy "handling their own areas" to spend time socializing.

When you tried to plan an all-bureau tactical training program, everyone complained that they couldn't cover the training and fill deployment needs. Instead, you agreed that each division could design and conduct their own tactical training, as long as they notified the bureau of when and where the training would take place.

One Wednesday, you decided to visit some of the non-patrol divisions under your command. One of your favorites is South Traffic Division run by Captain Jimmy Jackson. Jimmy is a sharp young captain. You know you can count on him for some really good jokes about politicians, not to mention accurate information regarding any traffic matter. As you step into his office, Jimmy greets you with, "Well, if it isn't my favorite leader! Have a cup of coffee and watch how the best traffic division in the city operates!"

You sit down and pour a cup. You are really impressed by STD. The walls are covered with charts and graphs. You can see where the traffic collisions have occurred in the bureau as well as where radar enforcement is conducted. There is also information on where the division is working with the City Council to place new traffic control devices. Captain Jackson is doing a good job managing traffic issues throughout the entire bureau. After hearing the latest joke about the congressman's wife, you excuse yourself and head over to South Bureau Homicide.

In the homicide office, you turn down a cup of coffee from Lieutenant Sean O'Connor, the commanding officer. "Chief," he asks, "What can I do for you?"

You reply, "Nothing, really. I just came by to make sure your people were still working all these murders." You are surprised that Lieutenant O'Connor is so pleasant today. Three weeks ago, you disapproved his request to go to a firearms instructor training school. You saw no reason why a detective lieutenant should be away from his job for two weeks, especially for training he did not really need. You and he really hadn't spoken since. "I think I'll just head on over to Southeast," you say, as you walk out toward the parking lot.

Lieutenant Tommy Taylor spotted you as you walked through the door of the Southeast Detective squad room. "Good morning!" he exclaimed.

You had always been impressed with Lieutenant Taylor's knowledge of investigative techniques as well as his ability to keep abreast of all of the important gossip from downtown. Even if he was a little absent-minded, Tommy kept his detective division working at top speed. As you glance around the room, you ask Tommy, "Hey, what's up? My schedule says that you're supposed to be doing a tactics training day today."

"Uh, well," Lieutenant Taylor begins, "We had to postpone it until we clear up some of these cases."

You let out a sigh and give him a disappointed look.

"Don't worry," Lieutenant Taylor adds, "The chief of police is out of town at a meeting; we won't get into trouble because we'll get the training done before he returns."

You reply, "That's not the point ... never mind, I'll talk to you later." You head back to your office to gather your thoughts.

Last week, you found South Traffic Division planning their annual golf outing instead of doing their scheduled training in Mobile Field Force/Strike Team Tactics. You know you should have corrected Lieutenant Taylor today and Captain Jackson last week, but you felt uncomfortable pinning them down. After all, both Tommy and Jimmy helped you get started in South Bureau. Their advice had genuinely assisted you through these first three months, while you were still getting accustomed to this huge command responsibility.

Five Weeks Later

Only five weeks had passed since that Wednesday, yet the last four hours seem more like a lifetime. Your entire bureau has been called upon to police a major incident at the sports arena. A couple hundred rival gang members had converged to discuss a gang truce, but the talks broke down and violence erupted. Three gang members were known to be dead. Fourteen others sustained gunshot wounds of varying severity. Several gang leaders barricaded themselves inside the sports arena and numerous possibly armed suspects fled on foot into the surrounding neighborhood. Traffic in the area snarled to a stop and the media was out in force.

The first patrol units on scene were quickly overwhelmed. But the Southwest PM watch commander, Lieutenant Carol McNally, did a spectacular job of responding to the scene, broadcasting a situation estimate, getting a tactical alert declared, setting up a command post, and calling in additional resources. So far, scores of patrol, CRASH, traffic officers, an air unit, three K-9 teams, and six homicide detectives were known to be working the situation. Southwest's area captain, John Wattendorf, addressed the media and firmed up a six-block perimeter around the sports arena and coliseum complex for crowd and traffic control. Captain Wattendorf also got the bad news that South Bureau would have to handle this one on their own since the "Fiesta Broadway" was in progress in Central Bureau. The acting chief of police did not want to interrupt routine police service citywide unless the situation turned "disastrous to life" and "beyond your most fervent efforts or ability." The way the assistant chief saw it, asking for any more help would be a terrible reflection on the emergency preparedness of South Bureau.

At this point in the problem, Lieutenant McNally had established telephone contact with the barricaded suspects and the conversation appeared to be going well. However, traffic and crowd control, just outside the established perimeter, were definitely interfering with the search for outstanding suspects. Your worst nightmare was that innocent victims would be killed or assaulted by the predators who had fled into the community. You knew

the answer was to establish a secure outer perimeter, maybe as big as twenty blocks, and to hold the perimeter long enough for search teams to do a house-by-house search. Obviously, you would need a temporary field jail and some teams of officers to arrest, transport, and process suspects. You knew the air ship and the K-9 teams would be a great help, but you also knew that coordination and maintenance of an effective perimeter and a field jail was a big job. To make matters worse, darkness was falling. This would make the search more difficult, not to mention that several cops had been working several hours of overtime already. They would be getting tired and hungry soon.

You called a meeting of all your commanding officers. “OK, here’s the scoop,” you said. “We have to form an outer perimeter and establish a temporary field jail. We have to maintain a smooth system of searching for suspects, making arrests, and transporting arrestees to Jail Division, Southwest, or anywhere there is room. Don’t forget to work out a relief schedule, to get all these officers fed and rested! You people know what you do best, so I’ll let you decide who is getting which assignment. I guess no one here gets a break until this is all over.” You figured they could handle the rest, so you sent them back to work.

Thirty minutes later, you were surprised when the acting chief of police poked his head in the command post. “Hey, what’s the story on the perimeter?”

“What do you mean?” you asked.

“Well for one thing,” he replied, “There are holes all over it. I walked through the perimeter without seeing an officer.”

You immediately head out of the command post to see for yourself. As you walked in the darkness, what you found was appalling. The officers were so far apart; it was as if no outer perimeter existed at all. You immediately approached one of the posts, where you found a sergeant and two officers from South Traffic Division. You asked the sergeant why so much of their perimeter responsibility was not properly covered.

He responded, “We haven’t been in this type of situation since we left patrol. Captain Jackson told us to ‘do the best we could’ and don’t make ourselves ‘look bad,’ but no one built in a relief factor. My guys got hungry and tired, so I let a few go eat and get off their feet for a couple minutes.”

You shook your head and jogged back to the command post. Again, you called your area and division commanding officers together. “What in the world happened out there?” you began. “First of all, our outer perimeter is atrocious! We’re going to need at least four positions per block with two officers at each position. Where is everybody? Who was supposed to get those officers relieved?”

Captain Jackson of South Traffic spoke up first, saying, “My division is short handed, so we could only cover one block on the perimeter. Besides, if I assign more people to this ‘stand and wait’ detail, we won’t be able to investigate the traffic collisions that occurred at the beginning of this mess. Some other division is going to have to pick up more positions.”

Lieutenant O’Connor was quick to reply, “We have a bunch of people who haven’t even worn a uniform in years and we’re covering three blocks and staffing a field jail. Look, my detectives don’t even know what they’re doing, and you want us to pick up your slack? We’ve got a job too, you know. Who is going to investigate those murders when we can get to the bodies? I’m sick of always getting the short end of the stick!”

John Wattendorf, the Southwest area captain, added, “Well, my guys do know what we’re doing, but we can’t do it alone. It just isn’t fair. My cops were here from ‘square one,’ and now they’re working well into the night. Southwest officers are crawling through and

under houses, searching for bad guys. The least you could do is watch their backs! I've got a great bunch of people, but they're exhausted. Someone here is gonna have to give us a lot more help!"

The argument that followed made your ears ring. Everybody started pointing fingers at each other, blaming everyone else for the jobs that weren't getting done. The madness was ended only by the arrival of the acting chief of police, who now demanded to know how this mess was going to get fixed.

I. **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** the situation using all applicable theories from the course to date.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Consider each of the theories we have addressed in the course thus far. Which of these theories help you to understand what is happening in this case study? There will be several theories. As you identify a theory, return to that lesson and consult the lesson objectives. Ensure that you include all of the important steps in your analysis by following the specific lesson objectives.

III. **Explain** an Area of Interest in terms of the theory(ies) you selected in the step above. Discuss how the selected theory is affecting the group’s individual, group, and organizational outcomes. In other words, use the selected theories to explain why individual motivation, performance, and satisfaction; group and organizational performance are affected.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. **Select** an appropriate theoretical leader strategy(ies) that would be effective in this situation.

V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest. The plan should be realistic and holistic, address all the Areas of Interest you have identified, and translate the theoretical leader strategies into action. What will you do and say to whom, when, where, and how?

VI. **Assess** the effectiveness of your leader plan and revise as needed. After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, “What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?”

LESSON 25: ASSESSING YOUR LEADERSHIP— RESULTS OF THE MULTI-RATER FEEDBACK

“— O’ wad some gift the giftie gie us, To see ourselves as others see us”
—Robert Burns

“Feedback is the Breakfast of Champions!”
—Anonymous

If your department and/or course of instruction includes an individual leadership assessment survey, this lesson will be set aside for individual meetings with one of the instructors to discuss the results of survey. The results of this assessment are yours and yours alone! This information will not be seen by anyone other than you and the instructor with whom you meet. You may, of course, share the results with someone else, but this is solely your decision.

Some of the people that you asked to contribute to your assessment may have taken a risk and said some things that, while honest, may make you angry or upset. You must respect these people for their honesty and should you recognize specific feedback, do not retaliate against or confront anyone. Instead, you should thank them privately for their courage and honesty in helping you to become a better leader. On the other hand, if someone really is trying to be mean and vindictive, just ignore him or her. Do not give them the satisfaction of getting under your skin.

The purpose of this assessment is to provide you with information from which you can determine your leadership strengths and weaknesses and subsequently set goals to develop your skills. Leadership and learning research shows that the greatest behavioral change comes when people realize their learning needs, set goals, and then solicit feedback from a trusted other as they work toward their objectives. Conversely, little or no change occurs when people merely acknowledge their learning needs. Consequently, to become a better leader, you must embark upon a learning program regardless of how modest it might be.

After you have digested and considered your survey results, you should select the general area(s) in which you wish to improve. Then select a more specific point that is most important to you right now. There may be more than one area so prioritize and set no more than two or three learning goals since that is all most of us can work on concurrently.

Your goals should be behavioral, specific, and measurable. Moreover, when they are achieved, the resulting behavior should contribute to your leadership effectiveness. You should also keep your objectives reasonable, as the intent is to do this concurrently with your daily police work, not create an additional training requirement in your already busy schedule.

As mentioned above, learning research shows that people are more likely to develop and reach their goals when they share their survey results and subsequent leadership development goals with someone else who can then become their coach, feedback agent, and cheerleader. This could be anyone that you trust and ideally, someone who sees you doing the things you are trying to change—perhaps even your leader. Most leaders love it when their followers announce an intent to improve. Furthermore, by sharing your development plan with others, you are contributing to making your department's culture more developmental. In the long run, this makes everyone a winner, including the people you serve in your community. But, this decision is yours to make.

The last step in your development plan is to commit. You analyzed your survey data, set two or three learning goals, and maybe even selected a coach. Now you must begin to act out the new behaviors, no matter how uncomfortable or awkward it may seem. Only through action and practice can you learn how to be different and to generate the behavior that will lead to the next round of feedback. By getting feedback, setting goals, and then acting to achieve them, you start a series of learning cycles that go on and on. With each cycle, you get better. The feedback provided in this class session is only the start of your leadership development cycles.

AREA IV OVERVIEW

THE ORGANIZATIONAL SYSTEM

- Lessons
26. The Organization as an Open System
 27. Leading the Environment
 28. Shaping Organizational Culture
 29. Leading Change
 30. The Ethical Dimension of Leadership
 31. Integration IV
 32. Putting It All Together
 33. The Practice of Leadership

AREA OVERVIEW

As we begin our examination of the Organizational System, you will notice that three concepts—*indirect leadership*, the *environment*, and *pro-activity*—begin to take on increased significance and emphasis.

As leaders move up the organizational hierarchy, they never really stop having direct face-to-face encounters with individuals and groups. Chief executive officers and chiefs of police continue to exert direct influence over some group of immediate subordinates. At the same time, these top officials make decisions that influence and shape the entire organization. To help executive-level leaders excel in senior management positions and to help junior leaders understand and prepare for positions of greater responsibility, Area IV shifts its focus to the unique and complex challenge of indirect leadership.

The influence of environmental factors has been present throughout the course. In Area IV, the environment takes on an even greater role. At the organizational level, leaders must manage the environment in a way that supports, rather than detracts from, the accomplishment of the organization's primary mission and goals. These lessons contain strategies to assist organizational leaders in this demanding task.

As we enter this final area of study, students often sense that the course begins to feel different. Certainly organizational theories are unique because they involve larger, systemic, indirect or environmental issues. One other important difference exists—more than in previous areas, you will be asked to take action proactively. These lessons contain many situations where things are not necessarily broken, at least not yet. Organizational leaders must have the ability to anticipate future problems and to apply proactive solutions. Area IV affords the leaders the opportunity to develop and practice these vital planning skills.

LESSON 26: THE ORGANIZATION AS AN OPEN SYSTEM

Introduction

This lesson consists of:

1. The Organization as an Open System
2. Two Student Journal Entries

Assignment

1. **Read Course Guide**, pages 3-42.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the Areas of Interest.
 - II. **Analyze** the situation using the Organization as an Open Systems Theory.
Identify the following:
 - A. The Inputs
 - B. The Throughput Processes
 - C. The Technical Core
 - D. The Outputs
Describe the following:
 - A. The Boundaries
 - B. The Feedback that exists
 - C. The Organizational Environment
 - III. **Explain** Area(s) of Interest in terms of:
 - A. How the components are interdependent.
 - B. What the significance of the environment and feedback are to the throughput processes of this organization.
 - C. How the change in one of the internal components changed the other internal components.
3. **Complete Student Journal** entries for Organization as an Open System.
In this lesson there are **two** separate Student Journal entries. Please complete **both**.

Student Journal number one: Provide a brief description of a change in the technical component of your department, division, watch, or unit. Analyze the change in the technical component in terms of the following:

Who or what was the source of the change? What was the input(s) that created the change? How was the change implemented? How did the change affect the structural component? What changes occurred in the psycho/social component? How did the leadership of your organization react to the change? What was the effect on the goals and values of the organization? How did the output of the organization change? In retrospect, did your department, division, watch, or unit respond to the change in terms of an open system, as you now understand the concepts of inputs, boundaries, feedback, and interdependence? What happened and why?

Student Journal entry number two: Reflect on the changes, if any, that Community Policing has had on your department, and describe the impact of the changes in terms of your police department's goals and values, technical, psycho/social interactions, structure, boundaries, feedback mechanisms, and leadership. In addition, describe how the departmental changes have impacted your specific division, watch, or unit.

“And thou shalt teach them ordinances and laws, and shalt show them the way wherein they must walk, and the work they must do. Moreover thou shalt provide out of all the people able men, such as fear God, men of truth, hating covetousness; and place such over them, to be rulers of thousands, and rulers of hundreds, rulers of fifties, and rulers of tens. And let them judge the people at all seasons: and it shall be, that every great matter they shall bring unto thee, but every small matter they shall judge: so shall it be easier for thyself, and they shall bear the burden with thee.”
- Exodus 18:20-22

As suggested by the biblical reference in the opening vignette, concern for leadership in large, complex organizations is not new. In these verses from Exodus we find reference to manuals for standard operations, training programs, criteria for personnel selection, tables of organization, delegation of responsibility, and the chain of command.¹ When individuals and groups combine in large numbers, special problems arise for the leader. For instance, the leader may no longer be afforded the face-to-face contact that we found in small group leadership. Also, groups of people become more differentiated by their work, physical space, and formalized levels of authority. Further, the external environment begins to take on an importance that was not part of small group leadership. For these reasons, it is necessary to study the complex organization as a separate entity. Although actual leadership in large, more complex organizations may be years away for most junior leaders, almost all leaders must work within a larger organization to accomplish goals. To maximize effectiveness, therefore, it is essential for leaders at all levels to understand the way in which organizations are put together and what goes on within them.

The purpose of this chapter is to present what is known about complex organizations—their nature; ways in which they can be studied; what differentiates them from groups; and, perhaps most importantly, the implications of organizational design principles for the organizational leader. In this lesson we will use our understanding of complex organizations to focus on the phenomenon of organizational change and adaptation to change. Finally, we will examine several techniques for implementing planned change in organizations.

As we discuss complex organizations, we need to step back from the detailed examination of subsystems within the Model of Organizational Leadership and instead concentrate on the totality of these subsystems. Though the level of analysis will be changed, we will continue to draw on the fundamental building blocks of the organization—the individual, group, and leadership subsystems of the Model of Organizational Leadership that we have discussed in earlier chapters. A thorough understanding of individual perception, needs and motivation, group socializing efforts, processes that occur within and between groups, and the influence process between leaders and subordinates is essential for a complete understanding of leadership in complex organizations.

We encourage you to reflect on your experiences in organizations to help place in perspective the material presented in the next two lessons. Each of us has been affected enormously by large organizations of which we have been a part. Our life experiences may have brought us into contact with schools, churches, clubs, business enterprises, or the

¹ Berrien, F.K., “A General Systems Approach to Organizations,” in *Handbook of Industrial and Organizational Psychology*, ed. M.D. Dunnette (Chicago: Rand McNally, 1976), p. 42. (Jethro counseling Moses; Exodus 18).

military. This organizational experience can greatly assist in relating to and understanding the concepts and models that will be presented here.

The Nature of Complex Organizations

Why do organizations develop? Who starts them? Who joins them? What keeps them going? What causes them to break up? In order to better understand the nature of complex organizations, it may be helpful to draw on events that people have either experienced directly or vicariously—that is, *social organizing*.²

Social organizing is a process that takes place spontaneously. For example, people are sometimes brought together under circumstances that may necessitate organization in order to reach an immediate goal or accomplish a task. A classic, though extreme, example of social organizing occurs when human activity is directed toward surviving a natural or man-made disaster. Some of the catastrophe movies and novels produced over the past several years provide an excellent framework for examining this process.

In all of these stories, the basic plot develops from the occurrence of a terrible disaster or catastrophe such as an earthquake, plane crash, or shipwreck. In the midst of the chaos and disorder we see people struggling for survival. Then, out of the smoke, fire, and human misery, someone (usually the leading man or woman) attempts to organize the survivors. As the story continues, the disaster victims begin to sharpen their sense of purpose, caring, and need for a collective action as a means for survival. Individuals begin to focus on important activities such as medical care, evacuation of the injured, and restoration of communications and power. Individual expertise helps to stabilize the situation. Meanwhile, the leaders begin to encourage and direct the efforts of all the survivors. Everyone works toward escaping from the situation. Primitive means of coordination and communications begin to develop. As the situation becomes more stable, the sophistication of the coordination increases until finally the survivors are rescued and the story ends. Sound familiar?

If we analyze the social organizing process that takes place in these stories we find a great deal of commonality. First, a shared sense of purpose appears to evolve among the survivors who realize that they must combine their efforts to accomplish their goal or purpose of survival. Individual expertise, past experiences, and personal qualities are the primary factors in the development of roles among the survivors. The ability to do or not to do certain things fosters a growing interdependence among the group members. As the story progresses, we begin to see the development of coordinated efforts. Finally, just before the story ends, we observe the occurrence of a well-coordinated, well-executed rescue. Similarly, the features mentioned above are common to most groups undergoing the process of organizing. Although we have used an extreme example, these essential characteristics serve as the basis of all organizations.

Lyman W. Porter, Edward E. Lawler, and J. Richard Hackman, three leading researchers in the field of organizational behavior, have commented on the process of organizing as follows:

² Galbraith, J.R., *Organization-Design* (Reading, Mass.: Addison-Wesley, 1977), p. 2.

Organizations are, first and foremost, social entities in which people take part and to which they react. The second fundamental feature stresses the purposeful, goal-oriented characteristic of organizations. This focuses our attention on the instrumental nature of organizations; that is, they are social instruments set to do something. The third and fourth features concern the means by which organizations go about the process of trying to accomplish objectives.... There are two major types of methods that are seen as essential for this: the differentiation of functions and positions, and the deliberate, conscious, intended rational, planned attempts to coordinate and direct the activities thus produced within the organization. Finally, ...a fifth basic feature: the continuity through time of the activities and relationships within organizations. This latter aspect implies that when we are talking about organizations we are not dealing with one-time-only actions or relationships, but rather ones that have some prospect of becoming regularized and of lasting for some indefinite amount of time.³

Simply stated, then, the fundamental nature of complex organizations can be summarized as follows:

- Who:* Composed of individuals and groups
- Why:* In order to achieve certain goals and objectives
- How:* By means of divided functions and tasks that are intended to be rationally coordinated and directed
- When:* Through time on a continuous basis⁴

We will continue to draw heavily on individual and group concepts as we examine complex organizations. In order to develop a conceptual framework in which to study large, complex organizations, we must elaborate on all four aspects listed above. However, in this and subsequent chapters, we will give emphasis to the latter two (how and when).

The Open Systems Perspective of Organizations

There are several perspectives that are currently used to examine organizations: functional perspective, communication perspective, sociological perspective, decision-making perspective, and power perspective. In a *functional perspective*, organizations are viewed as a system of functional components such as operations, personnel, maintenance, and production. If we view the organization in terms of communication patterns and analyze the formal and informal flow of information throughout the organization, we are using a *communication perspective*. In a *sociological perspective*, sociologists view organizations in terms of social relationship patterns. The key concerns are how and for what purposes people group themselves together into organizations. Decision-making procedures, how decisions are made, and who in the organization makes decisions, are the focus of a *decision-making*

³ Porter, L.W., E.E. Lawler III, and J.R. Hackman, *Behavior in Organizations* (New York: McGraw-Hill, 1975), pp. 69-71.

⁴ *Ibid.*, pp. 69-71.

perspective. Finally, an analysis of the formal and informal power relationships within an organization is called a *power perspective*; it allows the investigator to look closely at organizational politics and how they influence the organization.⁵

These perspectives reflect traditional views of organizations. Each is currently used by researchers and has its unique advantage for organizational analysis. For instance, by analyzing the functional aspects of an organization, we can observe the specialized facets of operation that the organizational leaders believe are essential for organizational survival and growth. We then could use this type of analysis to make the organization more functionally efficient. But what of the psychological and sociological aspects of organizational life—why do people join and stay with organizations in the first place? This issue is largely ignored when using a functional perspective, but it is the focus of analysis when employing the sociological perspective. To look at an organization from any single traditional perspective, therefore, may lead to a less than complete understanding of the complexities of behavior in complex organizations.

During the 1960s, the increasing complexity associated with social organizations and the growing awareness of the shortcomings of traditional perspectives led some theorists to adopt a systems approach as a means for studying complex organizations. Recall from earlier in this course that the term system indicates a state of interdependence and interaction among components. In the systems perspective of organizations, the interdependency and interaction of the component parts become critical dimensions for study.

As a system, an organization can be viewed in one of two ways: 1) as an organization closed to its environment, or 2) as an organization open and interacting with its environment. Most of the traditional perspectives previously discussed are classified as closed-system perspectives in that they focus on the predictable and controllable internal aspects of the organization.⁶ Moreover, the organization's external environment is generally viewed as unpredictable and therefore, is not considered when attempting to increase the effectiveness of internal functioning.⁷ The disadvantage of a closed-system perspective is that it has a tendency to generate leadership views that 1) are reactive to change (crisis management), 2) generally search for a single cause to complex problems (communication, sociological, power, etc.), and 3) neglect the external implications of decisions.

The open systems approach to studying organizations is much more compatible with the Model of Organizational Leadership. In fact, the Model of Organizational Leadership is an open system model. The basis of the open systems approach is General Systems Theory, a concept developed by Ludwig von Bertalanffy, a biologist, who attempted in 1956 to synthesize the many universal concepts and contributions that were developing in various academic disciplines such as economics, biology, psychology, physiology, and physics.⁸ In this theoretical approach, 1) organizations are viewed in their totality—complex entities composed of psychological, technological, economical, and structural elements that interact with one another, and 2) the interactions between an organization and its environment are

⁵ Pffner, J.M. and F.P. Sherwood, *Administrative Organizations* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1960), pp. 57-58.

⁶ Katz, D. and R.L. Kahn, *The Social Psychology of Organizations* (New York: John Wiley & Sons, Inc., 1966), p. 29.

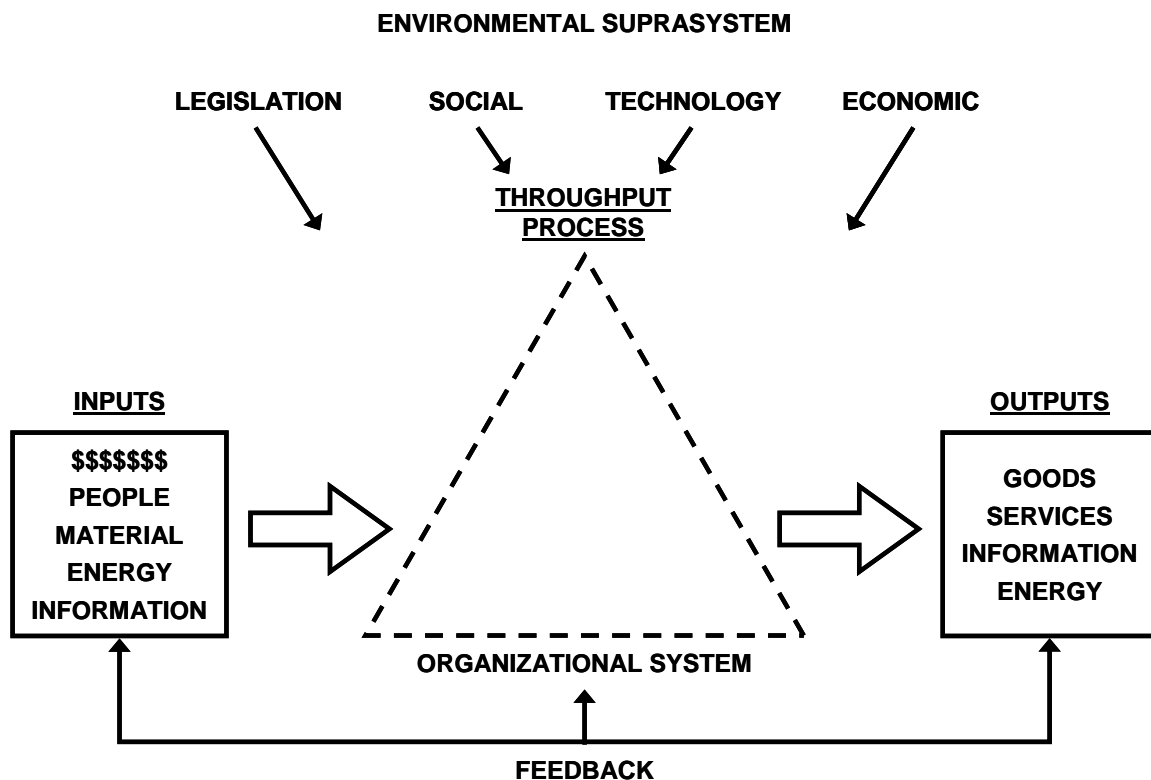
⁷ Carroll, S.J. and H.L. Tosi, *Organizational Behavior* (Chicago, Illinois: St. Clair Press, 1977), p. 158.

⁸ Bertalanffy, L. von, *Problems of Life* (New York: John Wiley and Sons, Inc., p. 176), from a footnote in F. Kast and J. Rosenzweig, *Organization and Management: A Systems Approach* (New York: McGraw-Hill, 1974), p. 102.

essential considerations for leaders because organizations do not exist in isolation. The important contribution of an open systems view for the leader, therefore, is the realization that both internal and external pressures and constraints are important in understanding the processes within large, complex organizations.

The dynamic relationship between an organization and its environment is pictured in Figure 43. This diagram explicitly outlines several elements of organizations that were implied in the Model of Organizational Leadership (Area I). Among these elements are inputs, throughput processes, outputs, boundaries, feedback, and the environment.

Figure 43. An Open Systems Model Applied to Complex Organizations



All organizations receive inputs in varying degrees from their environment in the form of money, people, materials, energy, information, etc. These inputs are converted and transformed within the organization into an output such as goods, services, information, or energy. The outputs of the system may be consumed by both organizational members and external sources.

These inputs and outputs pass through permeable boundaries depicted by the dashed line surrounding the organizational system. The concept of boundaries helps us understand another distinction between open and closed systems. The relatively closed system has rigid, impenetrable boundaries, whereas the open system has permeable boundaries between itself and the environment.

Boundaries are most often defined by those activities and processes that are required for an organization to transform its inputs into its outputs. Large service organizations, such

as the military, may lack clear, observable boundaries and are open to many inputs and outputs within their environment.

Besides designating what is and what is not part of an organization, boundaries also provide a filtering function that helps an organization screen its inputs and outputs. In so doing, an organization is able to focus its energies, control internal activities, and gain a degree of autonomy and independence from its environment.⁹

The feedback mechanism has two critical purposes—first, as a learning loop and second, as a means of control. The feedback loop in the model provides the organization with information regarding the impact and usefulness of its output to the environment. Additionally, this feedback mechanism allows the organization to modify its internal operations and outputs as needs and demands from the environment change. This allows the organization to maintain a balance with its environment through the input of materials, energy, and information. Just as living organisms store food and water to survive, organizations store revenues, knowledge, equipment, and other resources. Organisms that fail to take in more energy than they output will eventually collapse. This law of nature, called *entropy*, can be applied equally well to biological, mechanical, and social systems such as organizations.

The open-systems perspective of organizations points out some aspects of leadership not directly addressed before. These are the environmental aspects of leadership and the interaction among the internal or throughput components in larger organizations. We will address the nature of the environmental impact on leadership later in Lesson 27 (Leading the Environment). The interactive throughput process will be examined more closely in the next section as we look at some of the principles of organizational design.

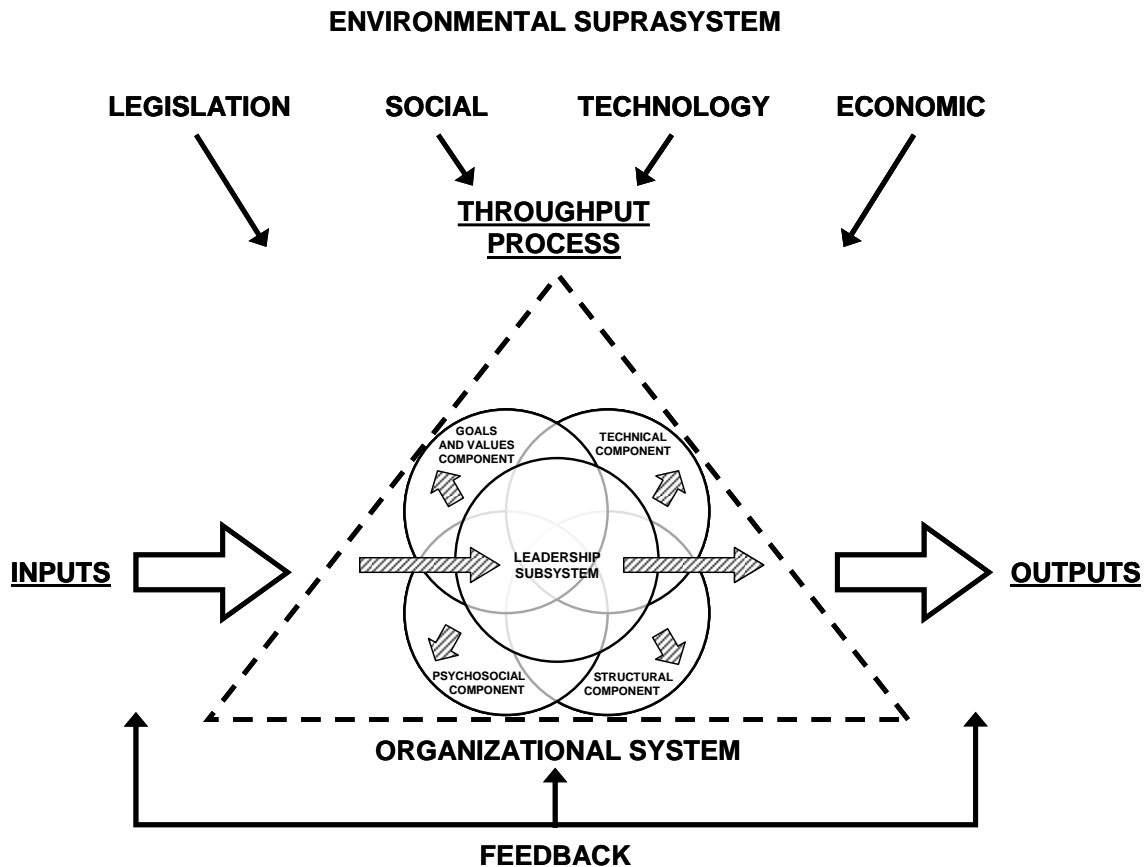
Organizational Throughput Processes

The size, shape, complexity, and purpose of organizations can vary considerably. However, there are certain throughput characteristics that appear to be common to most, if not all, organizations. Figure 44 expands the original diagram of the organization as an open system, specifying the common throughput components. Together, these components identify the organization and determine the organization's ability to convert inputs to outputs. The complexity of this model may seem confusing at first, but if we examine the components more closely, showing the relationships among them and pointing out where organizations differ from the groups discussed earlier, the nature of the diagram may become clearer.

Essentially, four interacting and interdependent components of the throughput process are represented in this diagram. They are the goals and values or desired future state of the organization; the psychosocial component previously discussed in earlier chapters on the individual and group; a structural component that depicts established patterns of relationships within the organization; and a technical component that reflects the equipment/technology, information, and knowledge at the organizational level.

Figure 44. The Throughput Process of the Organizational System

⁹ Kast, F. and J. Rosenzweig, *Organization and Management: A Systems Approach* (New York: McGraw-Hill, 1974), pp. 132-133.



We have already discussed in considerable detail both the goals and values component and the psychosocial component of the organizational throughput process. In the following sections, therefore, we will concentrate on the structural and technical components and will only consider aspects of the psychosocial and goals and values components when they differ because of their interaction with other components.

The Structural Component and Organizational Leadership

To accomplish their goals, it is necessary for organizational leaders to establish patterns of work relationships among the various subunits. Leaders plan formal workflow between those units—a process resulting in formal organizational structure. Most formal structures in organizations have the following characteristics:

1. Clear lines of authority, relationships, and duties that can be seen in organizational charts or job descriptions.
2. Formal rules, operating policies, work procedures, and similar devices used by leaders to guide the behavior of members toward the attainment of organizational goals.

At the same time, there is an informal organizational structure that deals with aspects of the organization that are not formally planned but that spontaneously arise from the

activities and interests of participants.¹⁰ The informal structure is adaptive and serves to perform functions that are not being adequately met by the formal structure. For example, recall that the informal communication network can make faster decisions possible. Similarly, informal work patterns can smooth the flow of products and services across the formal lines of authority. The informal structure may also promote inter-group cooperation even when the formal organizational structure indicates no formal point of contact between the work groups involved.

In short, the informal structure that develops in an organization helps the members to satisfy their social needs and may also help them to get things done. Effective organizations usually develop some informal link where the sub-unit leaders and members share information informally. This informal inter-group cooperation also may reduce the potential for conflict.

In addition to the formal and informal communication structure that exists in an organization, we will examine three other aspects of the structural component that make the organizational process different from the group process. These are organizational size, organizational shape and the degree of centralization.¹¹

1. *Size: Total Organization.* When looking at the effects of size, it is important to distinguish between sub-unit and total organizational size. As we have learned, when we work with a small sub-unit the interaction pattern is quite simple. In a doubles team in tennis, for instance, one player usually plays at the net while the other player covers the long baseline shots. Interactions between the two are relatively simple, and as long as they both understand the rules of tennis, they will be efficient. However, when we expand to the size of a football team, the outcome of each play is no longer dependent upon a simple two-person interaction. Several members must now interact effectively in order to achieve the group goal. Usually players on the line do not get to see the play developing, yet all of the members must work together if the outcome is to be achieved.

Studies have shown that increases in total organizational size are directly related to increases in complexity as measured by multiple levels of authority, the number of administrative positions in the organization, and the ratio of administrators to other employees.¹² One way leaders within organizations attempt to deal with increased size is to simplify and standardize work tasks through specialization. Specialization minimizes the necessity for close supervision of each member's work. That is, the simpler and more standard the individual workflow, the easier it is for the leader to monitor the total organizational workflow. Too much specialization, however, can create other problems of coordination and control and demand even more attention from the leader.

Size is also related to lines of formal authority. As organizations increase in size, they tend to subdivide into vertical levels, horizontal sub-units, and occupational specialties. In the tennis and football team example, the tennis doubles team may require one or, at most, two coaches who provide formal authority and develop game strategy against various opponents. As the size increases to that of a football team, however, the number of

¹⁰ Kast, and Rosenzweig, *op. cit.*, p. 208.

¹¹ Pugh, D.S., D.F. Hickson, C.R. Hinings and C. Turner, "Dimensions of Organization Structure," *Administrative Science Quarterly*, 13, (1968), pp. 65-105.

¹² Baldrige, J.V. and R.A. Burnham, "Organizational Innovation: Individual, Organizational and Environmental Impacts," *Administrative Science Quarterly*, 20, (1975), pp. 165-176.

supervisors and lines of formal authority increase greatly. We may have an offensive coordinator, a running back assistant, and an assistant for the offensive line, the quarterback, and the wide receivers. As organizations increase in size to 100, 500, or 1500 members, the lines of formal authority must increase in an attempt to better influence members toward the accomplishment of the organization's goals.¹³

Not surprisingly, organizational size has also been found to be positively related to innovation.¹⁴ The reason, of course, is that increased overall organizational size increases the probability that creative people with the ideas and skills needed to stimulate the development of innovations will be present. There is a caveat to these findings. As we know, innovative ideas can only be adopted if innovative individuals have leadership support, specialized staff help, and specialized resources. A good example of the relationship between size and innovation is found in the NASA space programs of the 1960s. As the United States made a commitment to the space program, NASA grew tremendously in organizational size, bringing together a large pool of scientists and engineers with the ideas and skills needed to stimulate the adoption of innovations. The transistorized circuits and technological improvements in the computer test-and-tracking systems helped NASA overcome problems of bulk weight in launch payloads and improve the safety test and tracking of the satellites. Many advancements in the fields of calculators, microwave satellite communications, and defense preparedness were spin-offs of the successful NASA program. At every organizational level, therefore, leaders need to be aware of the relationship between size and other aspects of organizational structure in order to take advantage of the potential outcomes that are available.

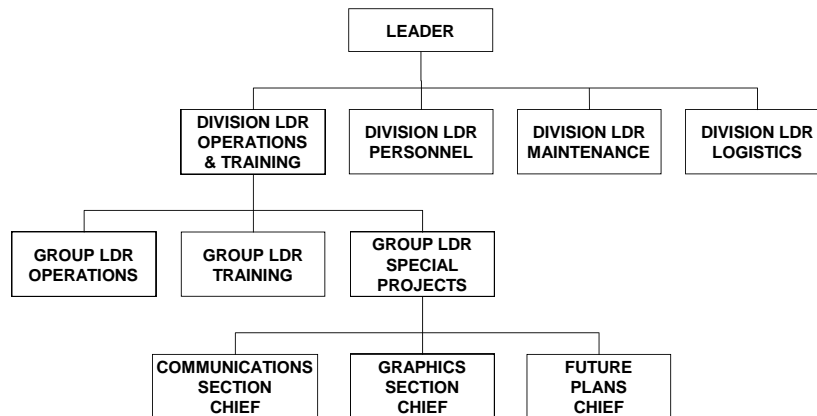
2.Shape: Tallness, Flatness, and Matrix. The number of levels in an organizational hierarchy, compared with the size of that organization, is sometimes referred to as *tallness* or *flatness*.¹⁵ Tallness refers to an organization with many levels of authority in relation to its size. In this situation, the average span of control or number of employees reporting to a given supervisor tends to be small. Flatness, on the other hand, refers to an organization with few levels of authority in relation to its size. In this situation, large numbers of employees report to a single supervisor. As a result, in flat organizations the work is more decentralized than in tall organizations and the leaders are more closely associated with the decisions affecting that work. Illustrations of typical flat and tall organizations are given in Figure 44. The distinction here is important. For example, if the research project chiefs of the Research and Development Division (flat organization) had to move their ideas through several echelons of leadership, what impact would this have on innovation? Conversely, if the leader in the tall organization had to supervise each diverse aspect of that organization, what impact would this have on control?

Figure 45. Examples of “Tall” and “Flat” Organizations

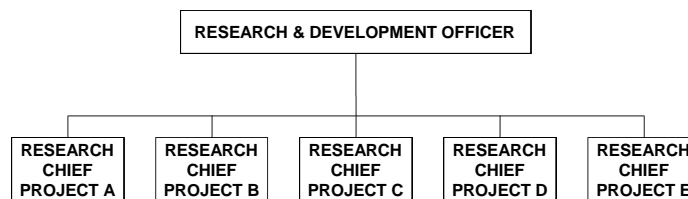
¹³ Inkson, J.H., D.F. Hickson and D.S. Pugh, “Organization Context and Structure: An Abbreviated Replication,” *Administrative Science Quarterly*, 15, (1970), pp. 318-329.

¹⁴ Payne, R.L. and R. Mansfield, “Relationships of Perceptions of Organizational Climate to Organizational Structure Context and Hierarchical Position,” *Administrative Science Quarterly*, 18, (1973), pp. 515-526.

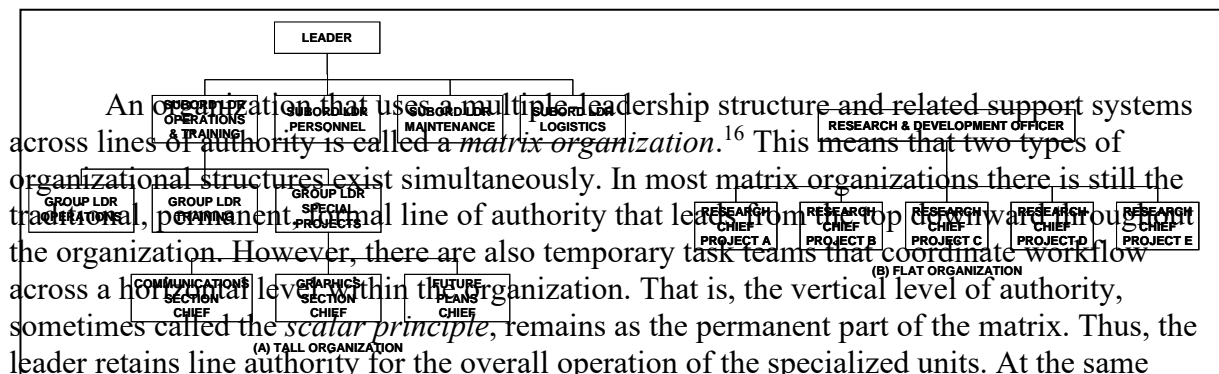
¹⁵ Porter, L.W. and E.E. Lawler III, “The Effects of Tall vs. Flat Organization Structures on Managerial Job Satisfaction,” *Personnel Psychology*, 17, (1964), pp. 135-148; and, J.N. Yanouzas, “Effects of Flat and Tall Organization Structure,” *Administrative Science Quarterly*, 14, (1969), pp. 178-191.



(A) TALL ORGANIZATION



(B) FLAT ORGANIZATION



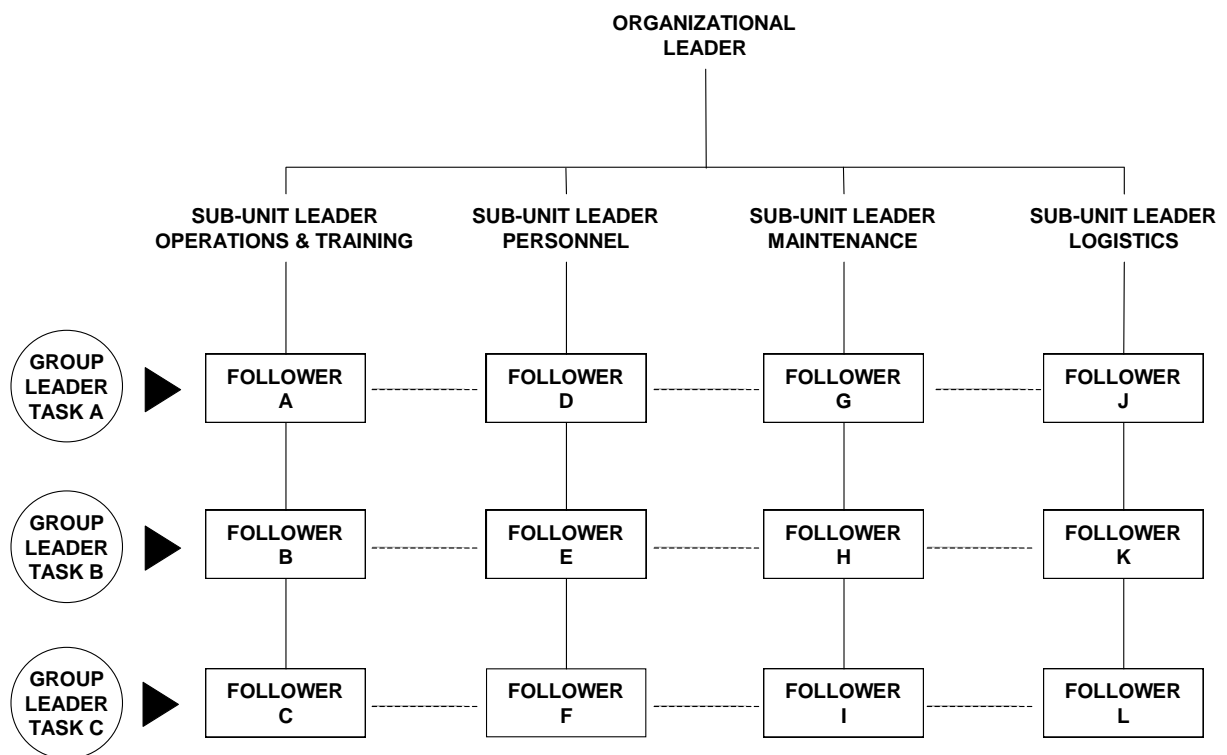
In Figure 46, Follower E reports to two bosses—the Sub-unit Leader for Personnel and the Group Leader for Task B. In essence, Follower E is the personnel leader’s specialist on Task Group B. The matrix design increases an organization’s information processing capacity by providing a means for information to be shared by members across formal lines of authority. This design is particularly effective when there are complex organizational tasks, workflow patterns, and uncertain information about the external environment.¹⁷ The obvious difficulty in matrix organizations occurs when there is a conflict of time or priority between the demands of the two leaders. The procedure for resolving such issues is usually

¹⁶ Davis, S.M. and P.R. Lawrence, *Matrix* (Reading, Mass: Addison-Wesley, 1977), pp. 18-19.

¹⁷ Galbraith, J.R., *Organizational Design* (Reading, Mass: Addison-Wesley, 1977), p. 70.

worked out carefully in advance. In policing, an example of a matrix-type organization is a tactical unit that is put together for a special mission. Though there is always one appointed commander responsible for the mission of the task force, each unit leader normally remains dependent upon its parent unit for administrative and logistic support.

Figure 46. A Matrix Organization



3. *Degree of Centralization.* Many leaders believe that when they offer increased autonomy or control to their employees, thereby decentralizing authority, overall effectiveness will improve. The research on this issue, however, has not supported this belief.¹⁸ In fact, the evidence shows no consistent relationship between the degree of centralization and organizational effectiveness. Within industry, for instance, as we move from small organizations that custom-make single items to highly automated, complex organizations, the

¹⁸ Blau, P.M. and W.R. Scott, *Formal Organizations: A Comparative Analysis* (San Francisco: Chamblor Publishing Co., 1962).

autonomy of leaders to make major operational decisions actually decreases. That is, in large organizations the authority becomes more centralized at the top levels of leadership, and junior leaders have less opportunity to directly influence tasks.

There is also evidence to suggest that the degree to which employees perceive autonomy in their work-group leader can influence their job attitudes and performance of the subordinates. For example, studies have shown that when the leader is perceived by the employees to be less dependent on centralized authority, the work situation will be perceived as being less structured. However, when leaders are perceived as being under close or tight control by the next higher level, the structure of the work group will be more formalized in terms of closer supervision, increased use of rules, and decreased worker autonomy and participation.¹⁹ In fact, the degree of autonomy seems to be contagious in an organizational hierarchy—more latitude given at higher levels will lead to more latitude given at lower levels in the organization.

It is apparent, therefore, that the structural properties of size and shape have an impact on leadership in complex organizations. With the exception of the centralization issue, the evidence shows that both job attitudes and performance behaviors are affected by size and shape. In addition, structural properties impact, to varying degrees, on the attitudes, values, beliefs, and job performance of employees.

Organizational Design Implications for the Leader

Thus far we have discussed the nature of complex organizations, presented various perspectives for studying organizations, and looked closely at some of the throughput processes that make leadership in complex organizations different from leadership in smaller groups. In this section we will expand that analysis and take a closer look at some of the major approaches to organizational design and their implications for leadership. Again, it is not our intent for the leader to be able to design an organization (although, in some cases, this may be possible). Rather, we approach the discussion of organizational designs from the standpoint of a leader working within different types of organizations and understanding how and why the organization is designed the way it is. Specifically, we will look at the bureaucratic, humanistic, and contingency design approaches. Finally, we will examine one technique for choosing among organizational design strategies.

Bureaucratic Design

Imagine for a moment that suddenly you are the appointed leader of an organization producing some sort of goods or services. What would be foremost in your mind? Efficiency? Product quality? Profits? Would you be trying to determine if some element of the task could be eliminated or if some parts of the work operation could be combined in order to have greater efficiency? How much expertise would you expect from your subordinates? If your thinking follows this line of functional logic, you would be subscribing to the bureaucratic or classical model of organizational design proposed by German

¹⁹ Hrebiniak, L.G., "Job Technology, Supervision and Work-Group Structure," *Administrative Science Quarterly*, 20, (1975), pp. 395-410.

sociologist Max Weber and the American father of scientific management, Frederick Taylor.²⁰

Essentially, these classicists view the organization as a somewhat mechanical device with fixed sets of specifications for accomplishing a task. For this line of logic, the organizational design problem begins with the division of labor—the work of the organization being divided into simple subtasks, with each subtask assigned to an individual.²¹ The division of labor is assumed to be more productive because it is not dependent upon the physical and knowledge limitations of any particular worker. Each worker can conceivably become more skillful at a simpler task.

A complete set of the major concepts and principles that reflect the classical bureaucratic approach is given below:²²

1. Division of labor
2. Clear duties, rules, and procedures
3. Unity of command
4. Unity of direction
5. Flow of managerial rights from top to bottom (scalar chain)
6. Narrow span of control
7. Authority that matches responsibility
8. Impersonal nature in dealing with organizational activity

These concepts are seen in their clearest application in older forms of police organizations. Control is accomplished through formal rules, roles, close supervision, and a system of incentives and negative sanctions. Any situation not covered by predetermined standard procedures is referred to the next higher level of authority for resolution. The kind of bureaucratic organization prescribed by classical theorists rests on a very rational view of human nature. That is, people are viewed as interchangeable parts of the organizational machine.

Perhaps the major criticism of the purely classical approach is that it restricts flexibility in adapting to change. The organization is assumed to exist in a stable and predictable environment, and the bureaucratic principles are treated as a universal one-best-way of designing an organization. However, the amount of interdependence and the need for better communications in organizations has increased greatly in recent years. A classic bureaucratic organization with specific rules and standard procedures for every requirement has an exceedingly difficult time adapting and surviving in an environment that is increasingly more dynamic and complex. Consequently, most organizational bureaucracies existing today are modifications of the original ideal concept.

Humanistic Design

Imagine now that you are a leader of an organization that has been operating for several years using the precepts of scientific management and bureaucracy. Based on time and motion studies and specialization, you should be operating at near one hundred percent efficiency.

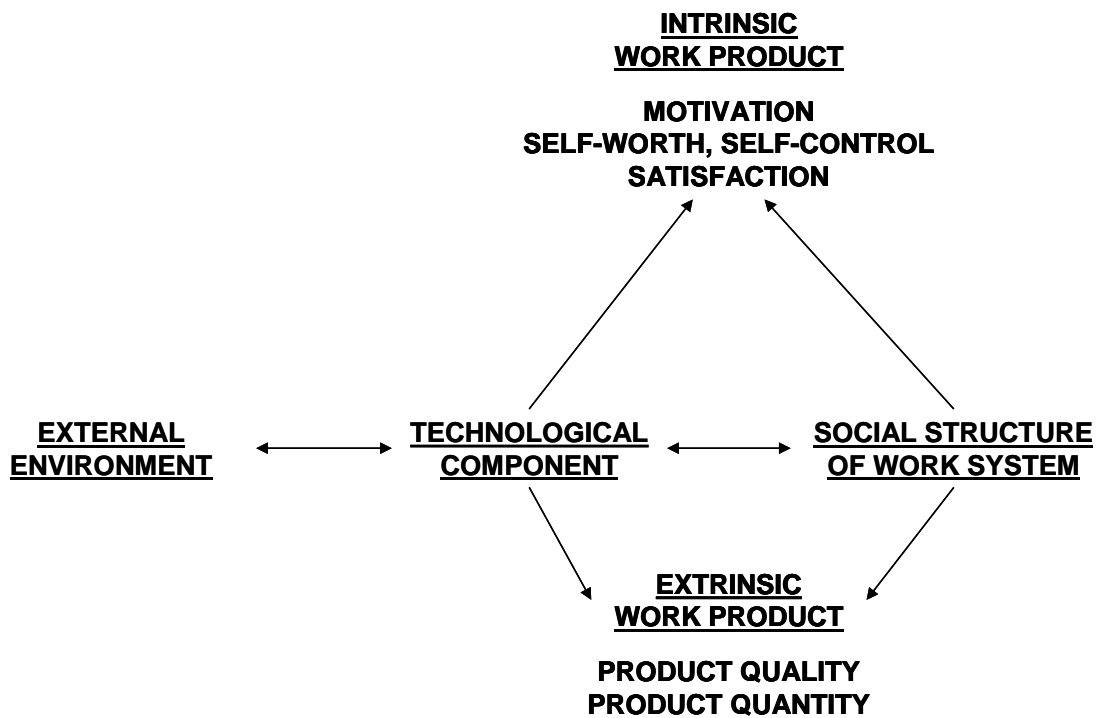
²⁰ March, J.G. and H.A. Simon, *Organizations* (New York: John Wiley & Sons Inc., 1958), p. 12.

²¹ Galbraith, *op. cit.*, p. 13.

²² Wesley, K.N. and G.A. Yuki, *Organizational Behavior and Personnel Psychology* (Homewood, Ill.: R.D. Irwin, Inc., 1984), p. 272.

Yet, you are only realizing about sixty percent of possible potential. You are frustrated because employees do not always follow the predicted patterns of behavior that would lead to the one hundred percent efficiency predicted. You are disturbed by the effectiveness of your organization's design. You find yourself in the same quandary that faced leaders at the time the humanistic school of organizational design emerged. Leaders developed a reaction against the strict reliance upon formality, specialization, and the hierarchical approach of the classical theorists.²³ The humanistic approach, as first conceptualized by sociologist Elton Mayo and business executive Chester Barnard, is characterized by an interest in the informal organization, which meets individual and group interpersonal needs, rather than by mechanistic or scientific betterment of efficiency. The key organizational design variable in the humanistic approach is the behavior of the leader. The leader with a humanistic approach tends to be person-oriented, supportive, and considerate—in short, adheres to Theory Y assumptions. The leader allows employees to exercise some, if not considerable, influence over what goes on in their work groups. Therefore, it is not the importance of the leader's role, but the style of the leadership and the assumptions leaders hold about employees that differentiate the humanistic from classical design approaches.²⁴

Figure 47. The Socio-Technical Interaction



The humanistic design approach is as much concerned with an employee's job satisfaction as with productivity. However, satisfaction is not designed into an organization for satisfaction's sake. As we discussed in earlier chapters, some researchers have found that increased satisfaction does result in increased productivity. In a humanistic framework, therefore, design efforts may be directed at decentralization to replace the hierarchical

²³ *Ibid.*, p. 33.

²⁴ Galbraith, *op. cit.*, p. 24.

approach advocated by classical theorists. Or leaders may use job enlargement to replace the over-reliance on specialization that is characteristic of the classical approach. In the final analysis, however, humanistic design is not so much a modification of organizational structure as it is a modification of organizational process.

The purely humanistic approach to organizational design has also been criticized.²⁵ Some critics argue that humanistic assumptions about the nature of employees are too idealistic. The emphasis on the social aspects of work neglects the effect that the task itself and the structure of the organization can have on productivity. Other critics point out that too little is known about personality characteristics to match individual differences and motivational needs to specific jobs in any meaningful way. Further, human relations theorists assume that decentralization and democratic participation will always result in a better match of organizational goals and worker needs. These theorists fail to recognize that in some organizations, particularly combat organizations in the military and some police organizations, there may be irreconcilable differences between follower needs and organizational goals.

Another criticism of the humanistic approach is that while it is concerned about the match between organizational structure and individual characteristics, it has neglected the match between organizational structure and the external environment. Even though the human relations approach is more compatible with an open systems model of organizations, the implications of technology and environment for structural design are not seriously considered. Finally, the humanistic approach does not specify what span of control is feasible for decision making in groups, nor when temporary teams, committees, and task groups are effective.

Both classical and humanistic approaches prescribe to a one-best-design belief for organizations. The classical principles are based on anecdote and practitioner experience. The humanistic concept is mainly based upon assumptions about how people behave in organizations. Although both have advantages, neither approach may be entirely suitable for the majority of modern organizations.

Contingency Design

Imagine now that you are a leader faced with the problems that are characteristic of organizations in a changing environment. What should you consider in designing your organization if the nature of the task is complex and the information exchange with the environment is subject to change? Will bureaucratic structures be as effective as decentralized structures? How do you face the gap between the amount of information you have and the amount of information you need to coordinate the various subsystems? Contingency approaches to organizational design attempt to provide answers to such questions.

Contingency designs, as proposed by contemporary organizational theorists such as Paul Lawrence, Jay Lorsch and Edgar Schein, are ultimately directed toward suggesting organizational design and leader behaviors that are most appropriate for specific situations.²⁶ The underlying question of the contingency perspective is how do the key components of design (technology, structure, people and goals) interrelate under different situations?

²⁵ Wesley and Yuki, *op. cit.*, p. 39.

²⁶ Duncan, R.B., *Organizational Behavior* (Boston: Houghton Mifflin Co., 1978), p. 294.

Contingency designs are open systems oriented and contradict the notions associated with the one-best-way to organize approaches. The contingency design perspective seeks to explain the interdependence within and between design components as well as between the organization and its environment.

One way to look at an organization is to view it as a workflow network that processes information.²⁷ Information needs within the organization will vary depending upon the nature of the task, the type of workflow, the state of the technology, and the impact of these factors on the members. In a contingency design, the objective is to achieve effective coordination across the parts of the organization, taking into account the information needs of each component. Recall that uncertainty has been previously defined as the difference between the amount of information needed to perform a task and the amount of information possessed by the organizational system.²⁸ Uncertainty limits the flexibility of an organization to exchange inputs and outputs within components and with the environment. Reducing uncertainty of information is a major characteristic of the contingency design of organizations.

How does an organization adapt to an uncertain environment? When the organization's work task is relatively simple and the environment is relatively stable, the information and coordination needs are low and a classical bureaucratic organizational design may be both appropriate and effective.²⁹ If the amount of uncertainty is high, however, the classical structure is probably unable to carry out the information processing needed to allow the organization to continue to adapt. In this condition, exceptions to rules and standard procedures may occur more frequently because the organization is not able to anticipate events and plan standardized responses with any precision.³⁰ As more and more exceptions are referred upward in the hierarchical structure, delays and coordination problems typically increase.

A design to reduce the amount of information required for decision-making may be accomplished through decentralization—a key facet of the humanistic approach. For instance, the organization may have separate sub-units corresponding to different sectors of the environment. The decentralized structure is effective when the organization's task is complex, and the environment is stable or static.³¹ This type of organizational design permits the leader at lower levels to operate more autonomously since less information is needed in each segmented area of operation. However, recall that a major weakness of the decentralized design is the inability to coordinate among sub-groups. Decentralized organizations often have no formal mechanisms to coordinate and resolve increased needs for information.³²

Such a condition requires a new form of structural mechanism.³³ For example, two departments, engineering and computer, which make up part of an organization may be required to collaborate in order to accomplish a particular task. Often, what is needed is an integrative mechanism to ensure that the two are effectively communicating.

²⁷ Galbraith, *op. cit.*, p. 5.

²⁸ Duncan, *op. cit.*, p. 66.

²⁹ *Ibid.*, pp. 64-66.

³⁰ Wesley and Yuki, *op. cit.*, p. 43.

³¹ Duncan, *op. cit.*, p. 66.

³² Lawrence, P.R. and J.W. Lorsch, *Organization and Environment* (Cambridge, MA: Harvard University Press, 1967), p. 46.

³³ Davis and Lawrence, *op. cit.*, p. 19.

Figure 48. Comparison of Centralized, Decentralized, and Matrix Organizations³⁴

	Centralized	Decentralized	Matrix
Assumptions	<ul style="list-style-type: none"> •Organizations are viewed as mechanical devices •Individual efficiency and expertise result from an increased division of labor •Environment is assumed to be predictable •Workers are viewed in terms of their physical capacity •Theory X assumptions apply to workers 	<ul style="list-style-type: none"> •Leader style and worker behavior impact upon organizational effectiveness •Workers are viewed in terms of motivation and psychological limits •Job satisfaction of workers and productivity are correlated •Theory Y assumptions apply to workers •Decentralization and participation result in better match between organization and subordinates 	<ul style="list-style-type: none"> •There is no one best way to organize •Not all ways to organize are equally effective •Effectiveness of design is a function of required interdependence within the organization and the environment
Structure	<ul style="list-style-type: none"> •Centralized control and responsibility •Specialization through division of labor •Extended vertical hierarchical levels (tall organization) 	<ul style="list-style-type: none"> •Decentralized control and responsibility •Less specialization and division of labor among subunits •Fewer levels of authority in relation to size (flat organization) 	<ul style="list-style-type: none"> •Each member of the organization is associated with two work groups •Matrix managers are key integrating devices that allow for organizational differentiation •Organized by function and by project
Potential Strengths	<ul style="list-style-type: none"> •Greater leader control •Increased standardization •Increased skill specialization •Easier to allocate shared resources 	<ul style="list-style-type: none"> •Greater flexibility •Increased level of innovation •Maximized contribution and development of subordinates 	<ul style="list-style-type: none"> •Reduces uncertainty of information about the environment by having functional experts on each project •Permits specialization and facilitates lateral coordination •Creates a heterogeneous group necessary for accomplishing a complex task
Potential Weaknesses	<ul style="list-style-type: none"> •Reduced flexibility •Decreased innovation •Tendency toward overspecialization 	<ul style="list-style-type: none"> •Reduced leader control •Lack of standardization •Less in-depth skill development •Difficult to allocate shared resources 	<ul style="list-style-type: none"> •Costly to maintain personnel for matrix •Subordinates in matrix subjected to dual authority system •Potential for duplication of effort between matrixes

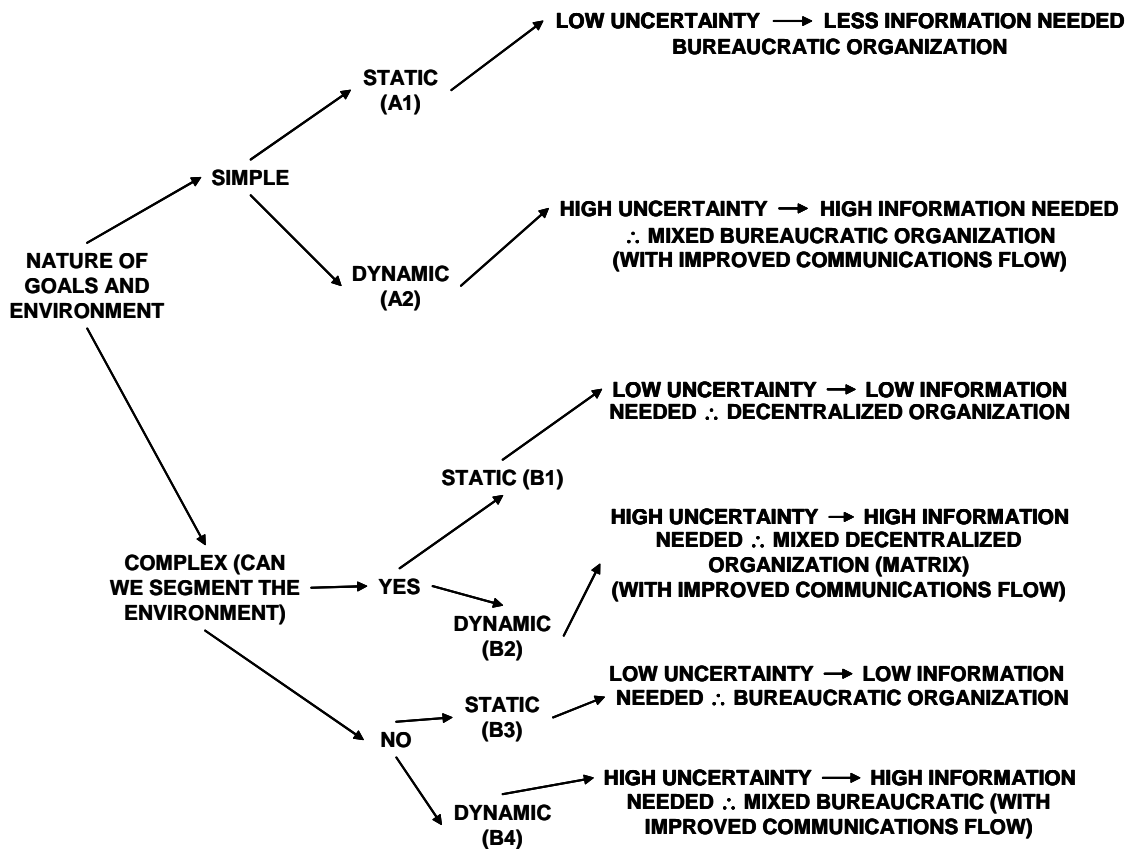
³⁴ Adapted by permission of the publisher from “What Is the Right Organization Structure,” by Robert Duncan, *Organizational Dynamics*, (Winter 1979), pp. 64, 66, 71 & 72. ©AMACOM, a division of American Management Associations, N.Y. All rights reserved.

The types of integration mechanisms may include 1) direct contact, where leaders meet informally to discuss their common problems; 2) liaison or integrator roles, where there is a possibility of conflict between the various subunits; or 3) the matrix type structure (as shown in Figure 45), where there is a dual authority, one having direction over functions and the other having authority over administration.³⁵ This form of lateral relations requires a process, or temporary team, that is superimposed onto the existing organizational structure.

To summarize the key characteristics of centralized (bureaucratic), decentralized (humanistic) and matrix (contingency) designs, the table in Figure 48 compares the typical organizational functions, strengths, and weaknesses of each. It should be emphasized here that each design may be optimal in certain situations. Likewise, each design has weaknesses that make it less acceptable in certain situations.

How can a leader judge which type of design philosophy is best for a given organizational situation? Figure 49 presents a decision tree that can be useful in this regard.

Figure 49. Organizational Design Decision Tree³⁶



To apply this model, the organizational leader first needs to ask questions about the task to be accomplished and the nature of the organization's environment. The first question

³⁵ Duncan, *op. cit.*, p. 69.

³⁶ Adapted by permission of the publisher from "What Is the Right Organizational Structure," by Robert Duncan, *Organizational Dynamics*, (Winter 1979), pp. 64, 66 and 71. ©AMACOM, a division of American Management Associations, N.Y. All rights reserved.

to ask is if the task to be accomplished is relatively simple, clear-cut, and by the book or complex to the extent that there are few rules for accomplishing it. The second question is with regard to the environment in which the organization exists. Is it relatively static and unchanging or is it dynamic and changing? Given the answers to these two questions, the leader is in a position to make a rational judgment concerning applicability of organizational design. Specifically, the leader analysis may be as follows:

A 1: If the nature of the task is simple and the environment is static, then there is low uncertainty of information and a classical bureaucracy is most appropriate.

A 2: If the organizational tasks are simple but the environment is dynamic or changing, then high uncertainty exists and high levels of information are needed. Because the task is simple, a classical organization design with improved communications flow may allow for coordination of shared information.

B 1: If the nature of the task is complex, the leader needs to ask, can the task be segmented by component, by geographic area, etc.? If yes, in a static environment, low uncertainty exists and a decentralized organizational design will provide autonomy by specialized task or function.

B 2: If the task is complex and can be segmented by component or area and the environment is dynamic, then there is information uncertainty. Therefore, the decentralized organizational design needs an integration mechanism to promote sharing of information needs. This is especially true when governmental regulations place external controls upon the organization.

B 3: If the task is complex and cannot be decentralized or segmented in a static environment, then there is low uncertainty of information need since the environment is predictable. Again, a classical organization design can be used.

B 4: Finally, if the task is complex and cannot be segmented in a dynamic environment, there is high uncertainty, and a mixed classical organizational design with improved communications flow to integrate information is needed.³⁷

As structure becomes flexible, leaders need to help their subordinates to become accustomed to a structure that is always changing. The matrix design helps to build and maintain a predictable, reciprocal system of relationships.³⁸ The change to a matrix design, however, cannot be accomplished merely by changing the formal organization chart. Rather, the leader needs to help subordinates work comfortably in a different way. Lesson 29, *Leading Change*, addresses this challenge of change for the leader.

Summary

In this chapter, we have discussed several organizational dimensions. We defined organizations as the collection of individuals and groups who come together over a period of time to work cooperatively toward the accomplishment of some goal by means of divided functions and tasks that are intended to be rationally coordinated and directed. We also discussed ways of studying complex organizations, both the traditional and the systems perspectives.

³⁷ Duncan, *op. cit.*, p. 72.

³⁸ Davis and Lawrence, *op. cit.*, p. 18.

We expanded on the organizational throughput in terms of goals and values, technical, structural, and psychosocial components, and we emphasized the structural and technical aspects that make the leadership subsystem in complex organizations different from leadership in smaller groups.

Lastly, classical organizational theory, the humanistic design, and contemporary contingency organizational designs were presented. We noted that in some situations it may be advantageous for an organization to operate with a classical design structure, but as a growing need for information certainty arises, a more contemporary, flexible model could be beneficial. Research on organizations has progressed beyond the point where a leader can consider the one-best-design, even within such traditional organizations as policing. Uncertainty of information and increasing interdependence of throughput components require that organizational designs incorporate lateral communication flow and integrated roles and provide matrix structures as effective coping mechanisms.

An Experiment in an Organization as an Open System

In numerous law enforcement, public administration, and academic circles around the country, the wide-scale implementation of Community Policing, Problem Oriented Policing, and Neighborhood Oriented Policing are being explored. These philosophical shifts to community-police-government partnerships are having an immense impact on police organizations and the component parts that make up the organizational system. To some, this represents great change. To others, it represents little change.

As you read the following article by retired Superintendent Chris Braiden of the Edmonton, Alberta, Police Department and the management paper on Community Policing by the Los Angeles Police Department, please consider the effects of Community Policing on all of the organizational components.

COMMUNITY POLICING NOTHING NEW UNDER THE SUN

By Chris Braiden
Superintendent, Edmonton Police Department
10 December 1987

(Note: This article appeared in *Footprints: The National Community Policing Newsletter*, Michigan State University in its entirety. Excerpts are used here with permission from Superintendent Braiden.)

Introduction

Mind-set influences everything in our lives: politics, religion, lifestyles, the clothes we wear, even our hairstyles, if we have any. Mind-sets in turn, are fashioned by our preconceptions of life. But perceptions can become self-fulfilling prophesies. As one very bright person commented, “We’re not what we think we are, but what we **think**, we are.”

It seems to me there is no one reality in life, as such, only our perception of what reality is in our particular circumstances. And so it is with policing: the mind-set of the leaders dictates what the reality of policing will be for the doers.

Because policing has a very loosey-goosey job description and enjoys a monopoly over its product, there is considerable room for mind-sets and perceptions to wander. My basic position is that policing has become a self-fulfilled prophesy; in the main it has become what we, the police, believe it should be. Whether that is what it needs to be is the most important question facing our future.

Today’s generation of police managers, myself included, grew up in a policing mind-set that saw us molded as functionaries of the criminal justice system, **a part** of that system and **apart** from the community-at-large. Indeed, there are strong signals that the entire system has come adrift of its original mandate. This was not planned or brought about by any one individual. It simply evolved over time. But for sure it did happen. And because that system’s sole product is crime, in the pure sense, so too has the police product become so narrowed. Indeed, many of us proudly refer to ourselves as law enforcement officers. Try calling a chef a cook or a homemaker a housekeeper and see what the reaction would be. I think Sir Robert Peel would turn over in his grave to see how his visionary product has been narrowed and cheapened. A better way of policing cries out. I believe that better way is to be found in return to the basic principles and philosophy that spawned public policing in the first place. In its simplest terms, this means pushing out the edges of **what** we do and **how** we do it. We must wean ourselves from the criminal justice system so that it becomes **one** of our customers and not our **sole** customer. It also includes getting our heads around the idea that we can have a greater impact on crime by coming at it **indirectly** and by marshaling the energies of others as opposed to trying to influence it **directly** by working on our own as we have in the past. It means a return to our original mandate, that of **peace officers** in the broad sense versus **law enforcement officers** in the narrow sense. There is a world of difference between the two. Those of us who are charged with the responsibility of molding the future of policing need to develop a new vision of why and how we police our

communities. That mind-set must be constructed around the fundamental philosophy of Community Policing. But what is it?

Community Policing is one of the most topical issues in policing today. As one commentator put it, “It seems to mean all things to all people.” Volumes have been written and library shelves are bending under their weight. One thing seems certain: whatever Community Policing is, it’s the “in thing.” Everyone seems to like it. Many people in policing are hitch-hiking on its wave of popularity. They apply it to almost everything they do of fundamental patrol work. This is a critical mistake. Until it becomes the fundamentals of police work, it’s going nowhere.

Try to get someone to define Community Policing for you, though, and there is silence. Most seem to see it as a new “thing” in policing. My position is that they are wrong on both counts. It is neither new, nor is it a “thing.” It’s much deeper than that. I believe it simply a re-emergence of the founding philosophy on which Peel built his public police in 1829. So let us first get rid of the notion that we have a new product on the block. That is why it will never be realized as an “add-on” to the conventional model. It won’t stick. Unfortunately that is what most police departments have tried to do with it; stick a new box on the edge of the organizational chart, put a few people in it and announce the birth of Community Policing. It’s not an hors d’oeuvre, or dessert; it’s the main course. It’s the meat and spuds of what policing was supposed to be from the beginning.

In spite of the volumes, studies and conferences that have been generated by Community Policing in the past decade, an understandable, concise explanation of what it is goes begging. This short paper is an effort to fill that vacuum. It’s an effort to explain **where** Community Policing comes from, **what** is and **how** it’s done.

The Origin of Community Policing

Someone once observed, “**There is nothing new under the sun.**” Neither is there anything new about Community Policing. Consider the following argument. Kenneth Oxford, Chief Constable of Merseyside Police Force in England, in commenting on the Scarman Report into the Brixton Riots of 1981 said: “**I have yet to find out the definition of Community Policing. It seems to be all things to all people.**” Perhaps the Chief Constable had answered his own question. Anyone (and there are many) who cannot get beyond demanding a pat, simplistic definition of the philosophy and ideas of Community Policing has missed the point entirely. Where would flight be today if the Wright Brothers had demanded to see a “747” before taking their run off that hill?

In conventional policing, we have always tried to keep things nicely packaged and pigeon-holed; the process has overshadowed the task. You cannot do that with Community Policing. Depending upon the problem faced, it might just be all things to all people. In my view, Community Policing does have a solitary definition, a single philosophy. But once again we must look at the past to enlighten our present. The fundamental philosophy is to be found in the genesis of modern policing—Peel’s principles. The mandate of policing has not changed down through the years. What did sift down through those same years were the perceptions the succession of police bureaucrats had of what policing should be; which, in turn, was influenced by what they liked it to be. Crime fighting and law enforcement are fun and measurable; in the main, that’s what policing has come to be.

I submit that the philosophy of what we term Community Policing today was originally found in item seven of Peel’s principles:

To maintain at all times a relationship with the public that gives reality to the historic tradition that the police are the public and that the public are the police. The police being only members of the public that are paid to give full-time attention to duties which are incumbent on every citizen in the interests of community welfare and existence.

I believe that when this passage is analyzed for its total message, it is the most accurate, concise, definitive statement of Community policing. For sure it is the earliest. Let me explain further: most people are familiar with the trite statement, “**The police are the Public and the Public are the Police.**” That is incomplete by itself. It is also misunderstood, I think. For most, it seems to mean that cops are just ordinary people like everyone else. It is presumed to be talking about the status of the people involved when in fact it is speaking about the **work** they do. It is the second part of the principle, which I have underlined, that gives full meaning to the statement and qualifies what Peel had in mind for his day. I would submit that while the community he speaks of changes and reshapes itself from time to time, the fundamental rationale and philosophy of the message remains constant. I believe that what Peel intended was to position the new police as social catalytic agents, not the aloof, law-enforcement, tradecraft journeyman we have fashioned ourselves into.

To understand Peel’s thinking and his reasons for forming the new police in the first place, we need to know a little about what London was like in his time. The Industrial Revolution was in full swing. This created a whole new strata of society: the factory worker. The person who was paid in cash for his weekly work was a recent thing. Barter wasn’t far in the past. Gin hit the streets and people had money to buy it. For the first time in history the masses had money in their pockets. The Industrial Revolution also brought very rapid, uncontrolled growth to the cities. Riots and public disorder were common. This sociological phenomenon was the main reason Peel formed the police in the first place: to control this widespread public disorder.

For further proof of his perceptions and mind-set, we must look at where Peel found his first batch of recruits. As he said, “**I want men of gentlemanly standing.**” He intentionally drew his original complement of police officers right from the very strata of the community that would be most directly affected by his new policing. Indeed, in the first decade 3,000 were fired! He wanted his police to be of the people, for the people. He wanted the community, literally, to police itself with certain members paid to do it full time in uniform while the rest did it part-time as they went about their daily work.

George Kelling and others captured Peel’s thoughts in modern terms:

Assigning the police responsibility for the maintenance of order, the prevention of crime and the apprehension of criminals constitutes far too great a burden on far too few. Primary responsibility rests with families, the community and its individual members. The police can only facilitate and assist members of the community in the maintenance of order, and no more.

Central to my proposition that item seven of Peel’s principles is the original statement of Community Policing is the last phrase of the passage, “**in the interests of community welfare and existence.**” Peel’s thinking was clearly not limited to crime, criminals, criminal

investigations or law enforcement. On the contrary, his phrase embraces the myriad of social issues that surround, and are inextricably linked with, policing—poverty, illiteracy, greed, racism, narcissism, etc.

Let me use the medical profession to illustrate this point more clearly. For a long time, it was thought that doctors controlled health. We now know that doctors have very little control over health. For sure they have some control over sickness and disease, but these things happen only after health has broken down. History has taught us that such non-medical things as diet, lifestyle and heredity, all of which have nothing to do with doctors, have a much greater impact on health than the entire medical profession and its gadgetry. This is the same type of broad perspective that must find a central place in our thinking on the evolution of policing. We must police in the interests of community welfare and existence. We must look to the total community around us for early signs of problems and then act as community team leaders to seek and apply solutions. Indeed, the original dictionary definition of policing is embarrassingly simple and revealing. It describes policing as, “A better state of society.” I have no doubt that this is the definition that was guiding Peel’s thinking as he put the Metropolitan Police together 160 years ago.

It is my contention then, that what Peel was describing in 1829 has come to be known today as “Community Policing.” In his day, the only descriptive term used “Policing.” Nothing else was necessary. But in our time, we have gone through a litany of double-barreled terms that could be referred to collectively as “Adjective Policing.” We’ve had team policing, zone policing, proactive policing and reactive policing, hard policing and soft policing. The list goes on. I think all of these terms have served only to confuse most of us (certainly me). If not for these previous adjectives, we wouldn’t have to use the word “Community” to isolate what we’re talking about. In fact, policing has not changed, only our perception of what it should be has. The only question facing today’s police leaders and governing bodies, such as police commissions, is whether we want to stay with policing as it has come to be or return to policing as it was intended to be while embracing all of the changes that have taken place in society in the interim. If the decision is to return to Peel’s philosophy, then that happens to be called Community Policing in today’s vernacular. I believe that Peel’s principles and Community Policing mean exactly the same thing. They are interchangeable. So, indeed, there is nothing new under the sun. And I’m sticking with that argument until somebody gives me a better one.

What Is Community Policing?

“Police others as you would have others police you.” That really says it all. What follows will not add to or take away from that golden statement of life as well as policing, but will simply serve to explain and illustrate it.

Community Policing is a philosophy, a mind-set, the reason **why** we do things in policing. It is the strategic vision that must precede strategic planning for planning’s sake. The Community Policing philosophy is constant, it doesn’t change from police department to police department or police officer to police officer. Conversely, how it gets done changes constantly.

To use the religious corollary, faith is constant but the denominations and paths to it are multitudinous. This perception is the essence of Community Policing because it recognizes that communities such as cities are made up of a collection of individual neighborhoods and that the personalities, problems, and solutions to those neighborhood

problems vary widely. Another way of putting it is to say that Community Policing is an effort to bring the village to the city and to see the city as a collection of villages as opposed to a big blob of people. **Community** is the larger term encompassing a number of **neighborhoods**.

If a conventional police agency is to adopt the Community Policing way of doing things, then there first has to be a re-tooling of the heads of the brass before you can re-tool the feet of the grunts. It has more to do with **why** we do things rather than **what** those things are. It has to do with the classic definition of effectiveness and efficiency captured by Warren Bennis who put it this way: “**Effectiveness is doing the right things. Efficiency is doing things right.**” But no matter how well we do things, if they are the wrong things in the first place then we’re spinning our wheels. No amount of efficiency replaces effectiveness. We have become very efficient at the routine things but never even question whether they should be done. **Community Policing** is the vision that tells us the right things to do. **Problem-Oriented Policing** is **how** we get those things done right (more about this later on). Community Policing is the head, Problem-Oriented Policing strategies are the feet. To quote Herman Goldstein, the father of Problem-Oriented Policing thinking, “**Community Policing is the bun and Problem-Oriented Policing is the beef.**”

And there is another thought that is critical to an understanding of Community Policing. Over the past several decades we have “**done to**” people in terms of policing. Community Policing would have us “**do with**” people. It embodies the words of Ralph Waldo Emerson who said, “**Go often to the home of thy friend for weeds choke the unused path.**” Conventionally, the only paths we walk are those to the bad guy’s house. Weeds choke the path between us and the common people. “**Only want the facts ma’am, we’ll do the rest.**” And there is another side to it. Traditionally, police have decided, unilaterally, what is important. As a consequence, because policing has a very nebulous job description (I defy anyone to **quantify** Peel’s principles, and don’t look to the Police Acts for help), and mostly because we are human, to a large degree we have ended up doing the things we like to do, and that are quantifiable (an hour spent on radar is measurable, not so with a bunch of snotty-nosed kids bent on mischief), as opposed to what is best for the community. Over time, a space has developed between what **we** think is important and what the **public** thinks is important.

How Do You Do Community Policing?

To answer this question, we have to get our heads around the notion of Problem-Oriented Policing. Problem-Oriented Policing “walks the talk” of Community Policing. It’s how you get it done. Its engine is **imagination** and its motto is, “**there’s more than one way to skin a cat.**” Traditionally, the only way we’ve tried to prevent crime is by catching the person in the act. We believed if we caught enough people in the act, we’d eventually lock up all the criminals or at least scare off the un-caught ones. And if directly enforcing the law didn’t solve the problem, then, by definition, the problem was not a police problem. Surely it must belong to someone else. We’re not social workers (are we?). Problem-Oriented Policing accepts the reality that everyday police work goes far beyond crime in the pure sense and that the range of tools we have at our disposal goes far beyond law enforcement. It accepts what I said earlier about the medical profession which learned to use the symptoms of an illness at the early stages to alert it to an impending disease. It tries to recognize and treat things in the early stages that cause sickness and disease and it promotes habits that prevent those things.

That is why today as much time and money goes into **preventive** medicine as into **active treatment** medicine. Coming back to Problem-Oriented Policing, it too is grounded on a simple philosophy; it recognizes that we must get beyond controlling the bad to organizing the good to help us control the bad.

Let us accept the fact that there never will be a crime-free society. A certain amount of crime, even in healthy communities, is as natural as a certain amount of rain or garbage. Indeed, it could be argued that if democracy is working right, a certain amount of crime will be committed by people who disagree with the status quo. Just as doctors working alone can never give us sick-free society so long as we drink too much, smoke too much, and the national past time is sitting on our fanny in front of the TV filling our faces, neither can police working alone give us a crime-free society so long as individuals live irresponsible, selfish lives.

This type of layman's philosophy is fundamental to an understanding of what Problem-Oriented Policing is all about. Unlike Community Policing, though, which is constant, Problem-Oriented Policing is in a constant state of flux. Whereas Community Policing is a philosophy and mind-set—intangible. Problem-Oriented Policing is a strategy, a tactic—tangible. Change is constant, dependent upon the problem being faced. It's the medicine applied to the community sickness identified by the Community Policing philosophy. And, like the doctor, we need to know what the sickness is before we can provide the right medicine. We cannot know what the most community-damaging problems are without working through that community which is our patient. Problem-Oriented Policing casts the officer as “pilot fish” using the Community Damaging Criteria to spot the problems. Sometimes the officers can spot the problem and solve it by themselves. Often the officer will have to get help within policing, the community, or both, to find a solution.

The process to be followed is simple. It has four steps: (1) Identify the problem, (2) Examine the problem, (3) Decide on a solution, and (4) Monitor the solution to see if it's working and adjust accordingly. The main difference is that **imagination** and **innovation** greatly enhance the ticket-book and legal powers to get the job done.

So, you might say Braiden hasn't told us how to do it. You're right. I haven't given you the “Big Mac Pack” of Community Policing. But I have looked at the ingredients to build your own, for that is the essence of it. What I have tried to do is help you get your head around the ideas, but the imagination and innovation has to come from each individual applying this type of policing. To do otherwise is a contradiction in terms. Each must build his or her own model.

Examples of it already happening in our own organization abound around us. Project O.W.E. (Outstanding Warrant Execution), whereby using imagination, technology and the media, every year we get thousands of people to **come to us** and clear up outstanding warrants—that's Problem-Oriented Policing. Our mobile trailer police office plunked right in the middle of the prostitution stroll at 107th Street and Jasper Avenue which gave the message “Wherever you go we're coming with you” was Problem-Oriented Policing. The Strathcona Division operation in 1986 targeting the Convention Inn South as a “blight” establishment and bringing together various police and government agencies to shut it down was Problem-Oriented Policing. The operation that has targeted Arizona Pizza and Texas Games at 106th Street and Jasper Avenue as another “blight” establishment is Problem-Oriented Policing. These last two operations are graphic illustrations that conventional law enforcement, no matter how much of it we do, doesn't always get the job done. Literally

hundreds of charges have been leveled against these establishments, but they continued to operate. The objective became “shut them down.” These problems are not new, but the solutions are.

These are only isolated incidents; with a Community Policing mind-set, they should be the norm. We will only get more of them by recognizing our greatest asset lies in the 1,400 human minds we have in our sworn-in and civilian ranks. Conventional policing has programmed and procedured these minds to death and many have ended up simply functioning. Many of us chain our brains at the gate coming to work and pick them up when we leave. Community Policing takes the shackles of these minds and provides inspiration and a work environment within which they can flower. It seems we go out of our way to select the brightest people we can find and then teach them to follow orders. God worked so hard to make us all different—and policing has worked to make us all the same. We need to follow-up on God’s work.

For greater in-depth literature on the subject of Problem-Oriented Policing, read **anything** by Herman Goldstein you can get your hands on, especially, “Policing a Free Society” (1977).

Conclusion

Many of us equate Community Policing with foot patrol. It doesn’t matter if we ride white horses; mode of transportation has nothing to do with it. That’s like saying going to church makes one a Christian. Of course it doesn’t. The question must first be asked, “**Why do we walk the beat or go to church?**” If we do either to placate or get brownie points with God or the public, most assuredly we have neither Christianity nor Community Policing. Conversely, if we approach our work thinking, “**Police others as you would have others police you,**” then we’ll do all right by everybody involved, ourselves included, and for sure we will realize much more fulfillment from our work. And perhaps one day policing will rise to its full social potential.

The fundamentals of policing are universally consistent across this continent. There is a need to advance the state of the art. Once progress is accomplished by a particular police agency, it can be the prototype for others to emulate. We wouldn’t have our 747 today if the Wright Brothers hadn’t taken their run off that hill many years ago.

Some may say conventional policing is a well-worn track, and so much the right one. That doesn’t prove it’s the right track, only that a lot of people have traveled it. But the same applies to sheep and we all know about the psychology of sheep. It’s time to cut a new intellectual swath in policing. All professionals require their “Mayo Clinic.” The Edmonton Police Department may as well be the one to take that run off the hill. Be forewarned, though, that if we try to bring about Community Policing without creating the strategic vision first, then whatever planning we do will be aimless and Community Policing will go the way of all other adjective policing efforts in the past.

One final thought, Life never stops changing, rearranging itself. As a consequence, policing is at a significant crossroads in its evolution. It falls to our lot, today’s police managers, to see it through the intersection safely. We must stop looking for quick fixes. Imagination and ingenuity are the things that will see us through that crossroads. But the adjustments we have to make do not have to happen overnight. It took a long time for policing to reach this crossroads and it will take a while for us to get through it. In the past we looked to “things” to see us through difficult times. Sometimes we tried to buy our way

out of trouble. It didn't work. Whatever the future holds for us, it seems clear that quality policing cannot be bought; it will come only through the minds, talents, skills, and sweat glands of the human beings in and around policing. But if it is true that the reality of policing is ordinary people in uniform dealing with ordinary people's problems "in the interests of community welfare and existence," then that's as it should be.

OFFICE OF THE CHIEF OF POLICE

MANAGEMENT PAPER NO. 2

APRIL 7, 1995

TO: All Department Personnel
FROM: Chief of Police
SUBJECT: COMMUNITY POLICING

As cities struggle to reclaim their streets and neighborhoods from crime and violence, one lesson is readily apparent: traditional law enforcement methods alone have not been successful. A new philosophy that addresses the causes of crime, encourages community participation and makes better use of existing resources is needed. Government and community leaders are beginning to recognize that they also have a responsibility for building communities which are stronger, safer, more self-sufficient, and where crime and disorder will not thrive. Community Policing is a policing philosophy which holds tremendous promise for creating the community, police and governmental partnerships necessary to reclaim our communities, reduce the fear of crime, and improve the quality of life in the communities we serve.

The Los Angeles Police Department's (LAPD) philosophy of Community Policing is built upon the foundation of our Mission Statement and Core Values. This Management Paper provides a clear definition of Community Policing. It is incumbent upon all Department personnel to understand and communicate the definition throughout the Department and the community. Community Policing is not a program—it is a philosophy that must transcend the entire Department, from the Board of Police Commissioners and the Chief of Police through all employees and organizational entities. It is how we, as an organization, provide service to our communities.

Definition

Community Policing is a partnership between the police and the community. It is a partnership in which the police and the community share responsibility for identifying, reducing, eliminating and preventing problems which impact the community. By working together, the police and the community can reduce the fear and incidence of crime and improve the quality of life in the community. In this effort the community and police, as partners, identify and prioritize problems of crime and disorder and share responsibility for development and implementation of proactive problem-solving strategies to address the identified issues. The strategies used combine the efforts and resources of the police, the community and local government.

Key Elements

There are four key elements to the philosophy of Community Policing:

1. **Problem Solving** – Problem solving challenges officers and community members to think creatively and supports the use of innovative, non-traditional methods of policing. It employs effective law enforcement tactics, yet also relies upon increased cooperation and commitment of the community and other governmental resources. The Department’s model of problem solving is “Community-Police Problem Solving” (C-PPS).
2. **Partnership with the Community** – Community Policing recognizes the importance of including community members in the decision-making processes that identify problems, develop solutions to these problems and that involve the community in responsibly solving these problems. Neighborhood organizations and Community-Police Advisory Boards (C-PABs) provide the vehicle for this interaction with the Los Angeles Police Department.
3. **Community Identified Problems** – The traditional model of policing took on a role where the police determined the policing priorities for their communities. Community Policing recognizes that the community must have input into that process. Often, the problems identified by the police do not coincide with the visible quality of life problems which cause the decay of neighborhoods. Community Policing ensures the police serve the specific needs of the community.
4. **Department-wide Orientation** – Community Policing is a philosophy that transcends the entire organization. All Department entities act as support to our Community Policing efforts. Decision making is pushed down to the service level. The organization becomes more decentralized, flexible and supportive as we encourage risk taking, and empower our sworn and civilian employees to make decisions. Everyone has “ownership” in Community Policing’s success.

Glossary

Some key terms associated with Community Policing are:

Community-Police Problem Solving (C-PPS) – This is the LAPD’s model for proactively solving community problems. C-PPS uses the SARA approach (Scanning, Analysis, Response, Assessment) to examine characteristics of problems in the community and to develop appropriate strategies to reduce these community-identified crime and disorder issues. The objective is to reduce, eliminate or provide a better way of effectively responding to problems.

Community-Police Advisory Boards (C-PAB) – Each geographic Area has a C-PAB. A C-PAB is an Area level community board comprised of members from the various residential and business communities who live or work in a particular geographic area. The membership is Area specific and can also include representatives from religious, social and educational institutions. In partnership with Area commanding officers, these community members identify crime problems, or problems of disorder and neglect that can breed serious crime, develop strategies to address these issues, and mobilize community and governmental resources which can help solve these problems.

Quality of Life Issues – Issues such as gang activity, graffiti, litter, broken windows and abandoned cars that go beyond the scope of traditional police activities. Though these issues of disorder and neglect are not always criminal, they can eventually lead to serious crime. The fear of crime has been found to be more closely correlated with issues of neglect or disorder than with crime itself. Failure to address these issues limits people’s activities, keeps residents in their homes, contributes to empty streets and clearly impacts the community’s quality of life.

Incident-Driven Response – The traditional police response to citizens’ calls for service. Officers respond to specific incidents (radio calls) and handle those calls as separate unconnected events. The focus is on handling the incidents rather than addressing the root cause of the problem which is generating the calls.

Proactive Response – This requires officers to do more than respond to isolated and individual incidents. It takes two forms. One is determining what is the root cause of multiple calls for service at a location, and then developing strategies to resolve the problem. The second is where officers target community identified problems, and working with the community, develop strategies to deal with the problems before they generate repeated calls for service.

Territorial Imperative – Officers are assigned to the same Basic Car for an extended time period. This promotes daily, direct and positive contact between the police and the community. As the police get to know the community and the community gets to know its officers, mutual trust and understanding are developed. It allows for consistent interaction and builds a relationship that fosters “ownership” and joint problem solving by the community and the Basic Car officers.

Overview

The Department is committed to the philosophy of Community Policing. The traditional policing approach has not had a lasting impact on crime, the fear of crime or quality of life in our communities. While crime may be down, the fear of crime is up. It is generated mostly by media perception and conditions in the community which impact the quality of life.

Community Policing will not occur overnight, nor does it offer a “quick-fix” solution to all community problems. Community Policing alone can not solve complex social problems such as gangs and homelessness. It can however, have a demonstrated impact on crime problems, the signs which generate the fear of crime, and can improve the quality of life in our City. It requires a long-term commitment by police, the community, and other City agencies to work together.

Community Policing is not “soft” on crime. It does not take law enforcement out of the role of the police officer. Police officers will continue to arrest people who break the law. Law enforcement has been, is, and will always be a major emphasis of policing. Community Policing, in fact, is tougher on crime because it encourages officers to focus enforcement efforts on community identified problems. It also encourages strategies that can deal with problems through other community based resources. Police Officers work with the community and assume the role of law enforcement activities. The community and other governmental agencies assume responsibility for non-law enforcement strategies that address the problem. As the most visible arm in government, the Police Department must be a leader and help facilitate and coordinate these strategies with the community. However, we do not assume the responsibility as sole guardians of law and order. The community and other City agencies must also accept accountability for strategies and services that more properly fall within their responsibilities.

The realization of Community Policing must occur at the line level. The men and women who deliver police services on the “front line,” have the most dramatic impact on the success of Community Policing. Fundamental police services in the Community Policing model will continue to be delivered through our front line service units—the Basic Cars. Other Department entities must act as support to the Basic Cars and their Community Policing efforts.

In crime prevention, the Department tells the community that to impact crime, they must get to know their neighbors. The Department’s corollary responsibility is to get to know our communities by stabilizing assignment of senior lead officers and patrol officers on the Basic Cars. Territorial imperative and the subsequent increased Police-Community interaction, allows police officers and community members to create meaningful partnerships. Police officers become more committed to “their” community. Community members discover their integral role in assisting “their” officers. A mutual sense of “ownership” is developed.

Community Policing is a continuous process. Its strength is its ability to be responsive and adaptable to the ever-changing needs of the many diverse communities in our City. That flexibility allows the LAPD to customize problem solving and service to those communities. It helps bring a small city service approach to an otherwise very large organization.

Our full transition to Community Policing will require a continuous commitment to training, and the proper allocation of resources. The return on the investment, however, is large: increased job satisfaction throughout the ranks; increased community satisfaction with All Department Personnel

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police service; elimination of persistent community problems; prevention of problems that might have developed; and adoption of a more rational and effective way of conducting the business of policing.

WILLIE L. WILLIAMS
Chief of Police

DISTRIBUTION "B"

LESSON 27: LEADING THE ENVIRONMENT

Introduction

This lesson consists of:

1. Leading the Environment
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 43-66.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using the Leading the Environment Theory.
 - A. **Identify** the technical core of the organization.
 - B. **Describe** the organization's task environment.
 - C. **Identify** the sources of environmental uncertainty (information).
 - D. **Identify** the sources of organizational dependency (resources).
 - E. **Describe** how the organizational leaders are coping with their task environment.
 - F. **Identify** any other environmental factors that are influencing, or may influence, the organizational leader.
 - III. **Explain** the effect of the organizational leader's(s') action strategies on the organization's output given the environmental influences. Also, explain the effect on the organizations internal components and how the cultural environment affects members of the organization. Likewise, explain how the change(s) in one of the internal components has changed the other internal components.
 - IV. **Select** an appropriate theoretical strategy or combination of strategies to address Areas of Interest.
 - V. **Apply** the theoretical leader strategy or combination of strategies to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise you leader plan.
3. **Complete a Student Journal** for Leading the Environment.

Think about your current work department. In what ways does the community you serve, the surrounding region, and even the nation and the world influence your department's ability to accomplish the purpose for which it was created? What is the technical core of your specific unit, division, or command? What

forces in the environment support or assist you in accomplishing your technical core? What forces in the environment threaten your technical core? What are the sources of environmental uncertainty (information)? What are the sources of organizational dependency (resources)? How are organizational leaders coping with their task environment? What other environment factors are influencing, or may influence, the organizational leader? What coping strategies are being used to deal with the organization's external task environment and how effective are the strategies? How has the cultural environment affected members of the organization?

How has change in any of the internal components affected the other internal components? What could your organizational leaders do to lead the environment more effectively and better protect the technical core?

Leading in Organizations

“So profoundly revolutionary is this new civilization that it challenges all our old assumptions. Old ways of thinking, old formulas, dogmas, and ideologies, no matter how cherished or how useful in the past, no longer fit the facts. The world that is fast emerging from the clash of new values and technologies, new geopolitical relationships, new lifestyles and modes of communication, demand wholly new ideas and analogies, classifications, and concepts. We cannot cram the embryonic world of tomorrow into yesterday’s conventional cubbyholes.”

—Alvin Toffler

Prior to this point in the course, we have considered several contributing factors that help explain the leadership process at different levels of the organization. From the perspective of the Individual Subsystem, we learned that people bring into the organization different levels of ability and motivation to which leaders must orient their attention and efforts. In light of this fact, we explored different approaches to the concept of motivation and illustrated the impact of personal motivation on the effectiveness of the leader and the organization.

At a second level of analysis (the Group Subsystem), we made the assumption that a human group is always something more than simply the sum of its human components. That is, there are phenomena unique to group life that requires us to consider an additional conceptual framework for a more complete understanding of the leadership process in organizations. The small group viewed as an open system exerts considerable influence on the behavior of its membership as well as upon the larger organization within which it is embedded.

In the lesson on the Leadership Subsystem, we shifted our attention to the important interaction that takes place between leader behavior and specifically defined situational variables. In so doing, we presented several prominent theories of leadership to account for the effectiveness of leaders in the accomplishment of organizational goals. The analytical frameworks and theories selected for this purpose expanded upon the understanding of the individual and small group dynamics established in earlier lessons.

Finally, in Area IV (the Organizational System), we observed complex organizations and explored the notion that certain large-scale organizational processes may influence the behavior of both its leaders and members. The organization, viewed as a system in interaction with its environment, represented a complex system of potential resources and constraints within which the leadership process could take place.

All of what we have focused upon in our analysis of leadership in organizations until now can be thought of as sources of variability or uncertainty originating from within the boundaries of the organization. In effect, this constitutes the internal environment of the organization. This lesson will direct our attention to factors and processes occurring outside of the organizational boundaries that provide an element of unpredictability or uncertainty for the leader. Although it would be convenient for the leader to simply ignore happenings outside the organization, it would be unrealistic. The reality is that organizations are

embedded within, and influenced by, a larger dynamic supra-system—the external environment. In Lesson 26, we briefly touched upon the notion that activities occurring beyond the boundaries of an organization have potentially important consequences for the leader. In fact, if the organization is to survive, it must effectively adapt or react to uncertain features of the external environment. This lesson will take a closer look at that external environment. We will find that there are things beyond the immediate control of leaders that may either enhance or detract from their ability to achieve organizational goals. We will also find that a major task that confronts leaders is the attempt to bring relevant external environmental factors more within their control. To accomplish this goal the leader performs yet another important task—the task of monitoring the exchanges or activities that take place between the external environment and the organization. In effect, this describes the leadership activity called *boundary spanning*.

Is the nature of the interaction between the organization and its environment necessarily one of conflict and constraint? To what extent can an organizational leader act directly on the environment to increase its predictability? How can the environment be used by the leader to help realize organizational goals? These are some of the questions we will address in this chapter.

Defining the Organizational Supra-system

A necessary first step from which to proceed in any scientific analysis is to establish a conceptual framework and to define the relevant variables contained within that framework. However, when looking into the world beyond the boundaries of our organization, there appear to be numerous factors that could be addressed. We must therefore limit the scope of our environmental analysis in some way. Because we are primarily interested in explaining how events outside of the organization affect the dynamics within it, a reasonable first question is, “What, of the many things out there beyond the organizational boundaries, is of practical relevance to a leader at any level of the organization?” The answer to this question defines what we will call the *organizational supra-system* or, more simply, the external environment of the organization.

The Environmental Perspective

It would seem that an ideal situation for organizational leaders would be one in which leaders could devote all their efforts to their primary goals without having to concern themselves with external interference. From our analysis in Lesson 26, we recognize such an ideal situation as one contrived under the assumptions of a closed system—an organizational abstraction rarely, if ever, found in real life. The more realistic situation is one in which organizational leaders must continuously:³⁹

- Ensure that their particular goals are consistent with those established at hierarchical levels above them.
- Be concerned with what occurs at the boundaries of the organization in terms of having the results of organizational effort (output) accepted by the environment.

³⁹ Thompson, J.D., *Organizations in Action* (New York: McGraw-Hill, 1967), p. 5.

- Be concerned about the recruiting of personnel and other resources from the environment rather than assuming that they are available in uniform quality and quantity.

The considerations suggested above force us to regard the organization as subject to the uncertainties and fluctuations of a dynamic environment. This, of course, is what we mean when we describe the organization as an open system. The open systems perspective prevents us from neglecting the often over-powering environmental factors that influence leaders as they attempt to achieve their organizational goals. Consider, for example, summary comments from a field study looking at the role of a military company commander. These comments clearly illustrate the highly contingent nature of an organization with respect to its environment. Although taken from an Army field study, the comments are just as illustrative of the life of a watch commander in police services.

The company (watch) commander learns to accept as cold reality the numerous days when 2 to 6 officers are the total number available for prime time training. Yet other demands which are embodied in policies and regulations and which are established at Division, Bureau, and Department levels help insure a generally insoluble scheduling problem. It is the space that remains after these demands have been met which comprises the company (watch) commanders' space for setting and achieving unit goals—a space which often totally disappears in the face of external demands.⁴⁰

When we address environmental issues, we undertake an analysis of contingent sources of uncertainty that are beyond the direct control of the focal leader. These sources of uncertainty have the potential to draw resources away from what the focal leader sees as the organization's primary mission. When we add to this the notion that the leader is, to varying degrees, dependent upon environmental factors to accomplish the primary mission, we have defined the external environment. The external environment of the focal leader, then, consists of those forces:

- Located outside the boundaries of the organization
- Organization is dependent upon external factors
- Potential to influence the effectiveness of the organization in achieving prescribed goals.⁴¹

The specifications of what the environment consists of are dependent upon the selection of the focal leader. If, for example, we choose a watch commander, then the organization consists of the watch and the division, as indicated in the Model of Organizational Leadership. The environment, then, would consist of everything outside the division boundary (i.e., bureau, department). If we select a larger unit of analysis, such as a police department (considered as an organization), then our analysis of the environment includes such factors as the relationship between the police and council, the size of the city budget, the availability of personnel for recruitment, and so on. In sum, it is important to

⁴⁰ Unpublished study of the company commander role, submitted as partial fulfillment of Command and General Staff College requirements, Ft. Leavenworth, Kansas, 1979.

⁴¹ Thompson, *op. cit.*, pp. 25-32.

recognize that the environment is a variable and that the determination of the relevant environment is situational specific.

Organizational theorists differ in the way that they classify the forces upon which the organization is dependent.⁴² However, the classification proposed by William R. Dill⁴³ and later refined by James D. Thompson⁴⁴ is useful for our analysis. According to these theorists, the external environment that is relevant for an organization consists of the following:

- Users of the organization's products (including service)
- Suppliers of materials, personnel, and capital
- Competitors for scarce environmental resources
- Regulatory groups including those occupying positions of authority at hierarchical levels above the focal organization
- The societal or cultural environment within which the organization is embedded⁴⁵

Let us choose the American police as the unit of analysis to demonstrate the importance of environmental uncertainty for a leader in an organization. For example, does it make a difference whether or not society (user of the police's service) judges its police as being able to protect life and property should it be called upon to do so? What is the effect of societal distrust on the organizational leader's ability to accomplish objectives or to achieve goals? Does it make a difference to the organizational leader if recruits provided by society (supplier of personnel) are of character and competence? Does the fact that the amount of resources available for protecting and serving social welfare (a competitor for scarce environmental resources) comes from the same limited budget? Does this promote a form of inter-group conflict? Do different forms of civilian control (regulatory groups) have implications for the exercise of leadership within the organization? The answer to all the questions, of course, is "Yes, it does make a difference." In the remainder of this lesson, then, we will consider each of the contingency factors alluded to in the questions above and examine the implications they have for leaders at all levels of the organization.

The Environment as an Independent Variable in the Leadership Equation

We take the view in this course that there are forces in the environment that have an important effect on what happens within organizational boundaries; we stop short of the extremist position that portrays organizations competing with each other for survival and being selected (in the Darwinian sense) solely upon their ability to adapt to the environment.

⁴² For a review or summary of different environmental perspectives see: Hampton, D., Summer, C., and Webber, R., *Organizational Behavior and the Practice of Management* (Illinois: Scott, Foresman and Company; 1982); Aldrich, H., *Organizations and Environments* (Englewood Cliffs, N.J.: Prentice-Hall, 1979); Thompson, J.D., *op. cit.*

⁴³ Dill, W.R., "Environment as an Influence on Managerial Autonomy," *Administrative Science Quarterly*, Vol. 2, (March 1958), pp. 409-443.

⁴⁴ Thompson, J.D., *op. cit.*

⁴⁵ Thompson makes a point to separate the cultural environment from the task environment in his analysis. For purposes of our analysis the distinction is not as crucial since we are addressing both the task and cultural environment. Thompson also employs terms that seem more appropriate for profit organizations whereas the major thrust of this analysis is toward a particular nonprofit organization. The terms used by Thompson are thus somewhat modified. The remaining discussion in this chapter, however, follows Thompson's analysis quite closely. From Thompson, J.D., *op. cit.*, p. 28.

This latter view of organizational survival, or survival of the fittest, is often referred to as an *ecological perspective*.⁴⁶ Our conceptual framework differs from the extreme ecological one because ours suggests that organizational leaders have the capacity to employ their resources to alter factors in the environment so that they are more consistent with organizational objectives. However, we will leave unanswered the question of how a leader can accomplish this until later in the lesson and instead, turn our immediate attention to a consideration of the independent influence that environmental factors do have on the organization.

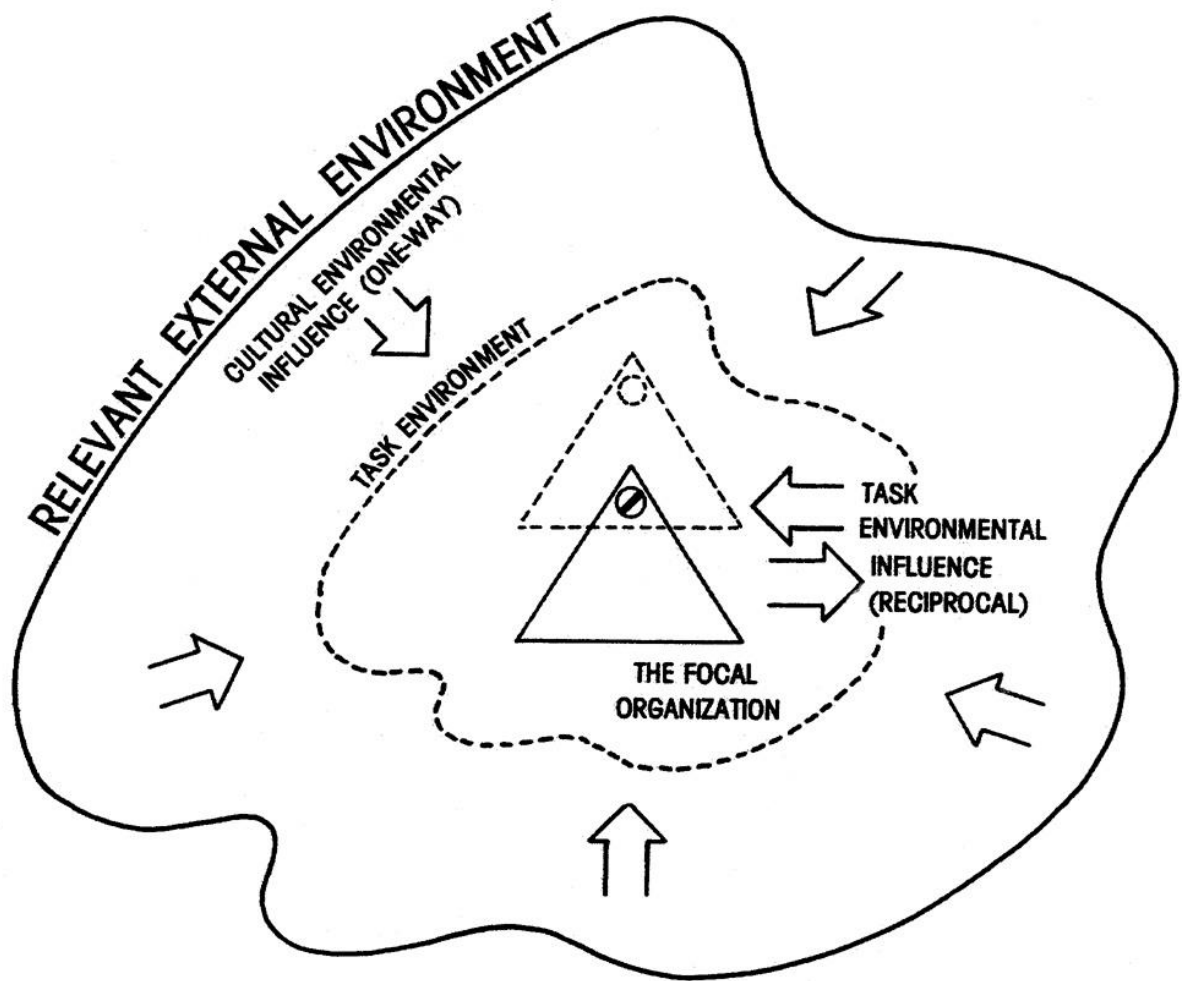
Figure 50 graphically represents a view of the interaction that takes place between an organization and its external environment. In this figure, we have modified the Model of Organizational Leadership to highlight the principal concern of this lesson.

Conceivably, we could define the environment as consisting of everything else except the organization under analysis.⁴⁷ However, we find it most useful to distinguish between the relevant and irrelevant environment; that is, between those environmental factors that seem likely to have an effect on the performance of the organization (relevant) and those that at a specific point in time are only remotely, if at all, related to organizational performance (irrelevant). The limit of the relevant external environment defines the shape of the environmental supra-system for the focal organizational leader. It is the leader's responsibility to continually reassess relevant features of the environment and reduce the uncertainty associated with an environment that is, by nature, dynamic.

⁴⁶ Aldrich, *op. cit.*; Hampton, Summer and Webber, *op. cit.*

⁴⁷ Thompson, *op. cit.*, p. 28.

Figure 50. Leadership and the External Environment

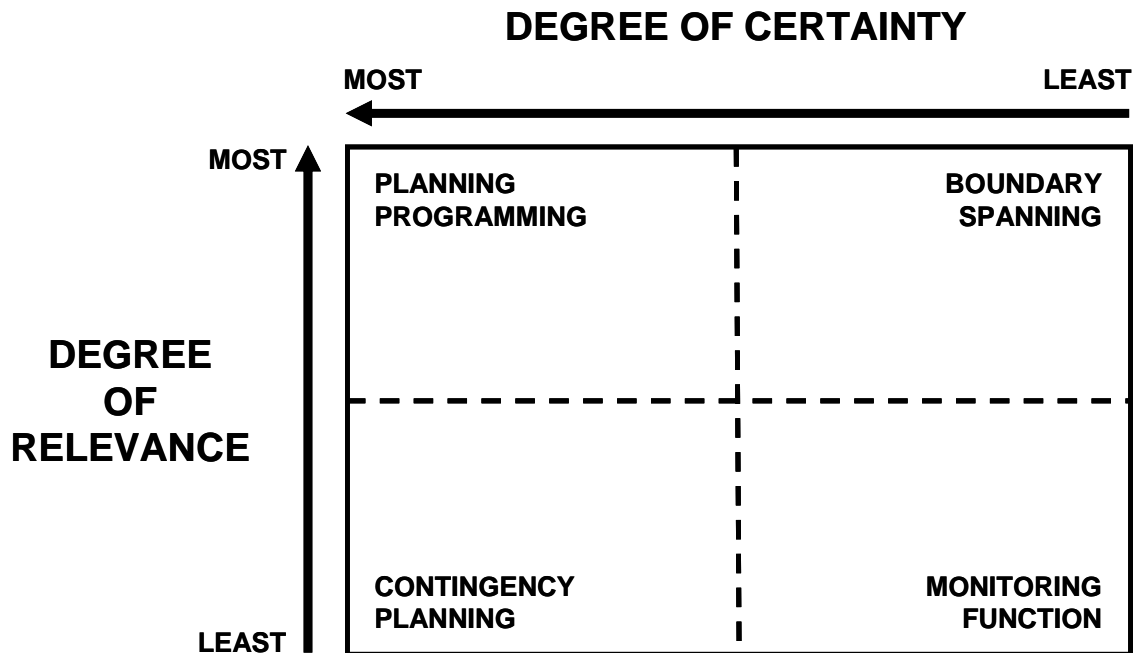


A second important observation in Figure 50 is the distinction between *task environment* and *cultural environment*. The task environment encompasses those aspects of the total relevant environment upon which leaders are most dependent in the performance of their primary missions. The task environment also represents that arena, or domain, over which the leader has the greatest potential control or influence. The potential of the task environment to influence the organization and, alternatively, the organizational leader's ability to influence the immediate task environment is represented by the reciprocal arrows in Figure 50 that are emanating from and pushing into its boundary. We will see shortly that the force or power behind this influence in a large way determines a leader's effectiveness in the accomplishment of organizational goals.

The cultural environment, on the other hand, represents those aspects of the relevant environment that directly or indirectly influence the ability of the leader to lead effectively but which are not readily influenced by the leader. This nonreciprocal influence is illustrated in Figure 50 by the arrows directed at the organization from the cultural environment. We will now more closely examine each set of environment influences (task and cultural).

The Task Environment. We now have a more focused conceptual framework for exploring the significance of the environmental perspective for the leader. However, before proceeding, it is important to understand the terms *relevance* and *certainty*. We define relevance in terms of the relative dependence of the organizational leader upon specific forces in the external environment. Certainty is defined as a characteristic of the environment indicating whether or not its dynamic nature can be predicted or anticipated by the organizational leader. If we take these two concepts and assume that elements of the environment can be represented on continua from most relevant to least relevant and from most certain to least certain, we gain an appreciation of the potential that the task environment has to influence the leadership process. In particular, when we place these variables in relation to each other we obtain an understanding of appropriate leadership roles with respect to environmental factors. Figure 51 illustrates this relationship.⁴⁸

Figure 51. Relevance, Certainty, and Appropriate Leadership Roles



We see from Figure 51 that if elements of the task environment are relatively predictable or certain, and the organization is relatively dependent upon these same elements to accomplish its designated primary mission (most relevant), the appropriate organizational response is to institute a series of plans or standard operating procedures to guide organizational activities with respect to the predictable environment. If, however, the environment can be considered relatively certain or stable, but the factors in the environment upon which the organization is dependent have little relevance to the leader of the focal organization, it becomes necessary to establish contingency plans in the event that the organization receives a change of primary mission. When environmental factors are

⁴⁸ A decision making paradigm which somewhat resembles that of Figure 50 is illustrated in J. March and H. Simon, *Organizations* (New York: John Wiley & Sons, 1958). The general idea is similar.

unpredictable or uncertain and are not very relevant to the present functioning of the organization, the appropriate response of the organizational leader should be to ensure that surveillance of the environment is maintained. The leader maintains surveillance to reduce the potential chaos that may result should the organization suddenly be thrust into a state of dependence on environmental factors. In other words, leaders monitor the environment to insure that they can be proactive should existing but less relevant factors suddenly become important to the functioning of the organization. Finally, if the environment is uncertain or unpredictable but very relevant leaders must spend a great deal of time serving as liaisons between their organization and the structures or factors in the environment that are generating the uncertainty. We say that the leader in this capacity must perform the critical function of a boundary spanner. It is the leader's demonstrated ability to perform effectively in this boundary-spanning role that often determines the success or failure of an organization in achieving its goals. When leaders perform this function, they reduce the impact of environmental uncertainty, thus making the focal organization less dependent on the fickle nature of the environment. The informed leader who anticipates changes in the environment is better able to proactively plan the activities of the focal organization with greater certainty. Strategies to help the leader effectively perform this boundary-spanning function will be presented later in this lesson.

The Cultural Environment. Organizational leaders must be aware that there are many aspects of their social environment over which they have little or no control; nevertheless these aspects have a significant influence on the achievement of organizational goals. These aspects constitute the cultural environment of the organization. The values and social norms of the society that the organization is embedded in are particularly important elements. Because these values and norms are relatively enduring and stable, they can be regarded as a significant and independent set of forces in the equation of leader effectiveness.

As we discussed in Area I (Individual Process and Development), values are defined as a relatively enduring set of beliefs about what ought to be. Examples of shared values in the American culture are the equality of opportunity, religious freedom, the right to individual dignity, and the like. Different societies, of course, have their own unique sets of values and associated societal norms. In fact, many theorists believe that the different forms and practices found among organizations in different societies are primarily a result of the peculiar cultural norms of the societies and the work behavior that these norms prescribe.⁴⁹ For example, in an interesting contrast of British and Japanese factory life, one author points out the following:

The difference in British and Japanese employment systems is more directly relevant to an explanation of different degrees of class consciousness. The way people perceive the structure of the individual factory—the social microcosm in which they work—inevitably affects [and reflects] the way they perceive the society at large. If Japanese workers are less likely to see their factory in terms of bosses and the workers, they are less likely also to see society in terms of a boss class and a working class.⁵⁰

⁴⁹ See the analysis presented by R. Dore, *British Factory—Japanese Factory* (California: University of California Press, 1973); and, at a more macro level, T. Parsons, *The Structure of Social Action* (Newark: McGraw-Hill, 1937).

⁵⁰ Dore, *op. cit.*, p. 284.

Within each cultural environment there can exist a further set of sub groupings. These subcultures are, to some extent, subject to the same broad set of larger societal values, but they often manifest their own unique set of norms and may even apply somewhat different interpretations to existing societal values. For example, in American society we attach special meaning to terms such as youth culture, drug culture, poverty culture, culture of the aged, and so on. Understanding the values that provide the basis for the formation of subcultures is an important but very difficult task for the organizational leader whose members represent a cross section of many subcultures.

Society's existing set of values or beliefs and its various subcultures affects the exercise of leadership in organizations in very basic ways. The values of the larger society set limits on the appropriateness or acceptability of organizational goals. In effect, the organizational leader cannot autonomously decide the direction of organizational goals without being cognizant of the acceptability of these goals to the larger society. In other words, the environment must legitimize the intended output of the organization, or the environment will not support the organization in its efforts. In some cases, the organizational leader may even be reproved should he or she violate what society deems proper.

One example of how required legitimacy can effect an organization's functioning is the American military's conduct of the Vietnam War. According to one author, the instrumental goal of the military was to win the war quickly using all possible means.⁵¹ Many contend that one reason the war was ineffectively waged (from the perspective of the military) was that society failed to support the military in achieving this principal aim.⁵² Contrast this observation about the American military in Vietnam with an observation made by one author about the societal support perceived by members of the North Vietnamese People's Liberation Army (PLA) during this same period. The goals of the communist society of the north were embodied in party slogans such as "achieving national independence under the leadership of the party" and "building a just society."⁵³ Furthermore, this supportive ideology was frequently transmitted to the PLA through a wide variety of organizational policies and associated procedures of indoctrination.

A similar contrast exists between the societal support enjoyed by the American Military during World War II and that which the military was given during Vietnam. During World War II almost total societal support was generated toward the aim of "making the world safe for democracy." Consequently, during World War II the military enjoyed relatively greater autonomy in the exercise of means to achieve that end. Since the presence or absence of societal support historically has had such a great influence on the ability of military leaders to conduct their business autonomously, we recognize societal legitimization as a very important, indeed crucial, environmental factor. Returning to our earlier observation of the contrast between societal support for PLA and American units during the Vietnam War, one observer concluded that environmental factors (including higher

⁵¹ Henderson, W.D., *Why the Vietcong Fought—A Study of Motivation and Control in a Modern Army in Combat* (Westport, Conn.: Greenwood Press, 1979).

⁵² For an interesting contrast, see Preface and Introduction to Henderson's (*op. cit.*) analysis of the societal support that the Vietnamese PLA received and the articulation of their primary group goals with society.

⁵³ Henderson, *op. cit.*, p. 102.

organizational practices and societal values) in effect determined why one Army (PLA) endured and the other (U.S.) did not.⁵⁴

At the very minimum, a critical implication to be gained from these examples is that it makes a difference whether elements of the external environment support and legitimize organizational efforts. To the extent that they do support the organization (add legitimacy to the output), it becomes critically important for the leaders of the organization to articulate that support to their followers. At each organizational level, the leader thus performs the necessary linking-pin function between the goals of his or her organization and the goals of the larger organization and society.

There is a second way through which the values of society enter into the leadership equation. As we learned from the functional description of leadership at the outset of this course, when people enter an organization they bring with them the values of their pre-organizational life—values that are acquired from their membership in the larger society and its various subcultures. Accordingly, leaders must take into account the needs, motivations, and accepted practices of subordinates when exercising the leadership function. For instance, leaders must accept the fact that individuals bring into the organization a relatively established set of beliefs about what ought or ought not to be. For leaders to offset established prejudices and preconceived notions requires a great amount of time, effort, and expertise. Lesson 30 (The Ethical Dimension of Leadership) will focus specifically upon this critical leadership function.

Given these two aspects of cultural influence on the leadership process, a double-edged function of the leader becomes clear. First, leaders must be sensitive to the support they receive from the society or cultural environment in which the organization is embedded. Also, the support that does exist must be translated to followers in a way that is meaningful to them. Secondly, leaders must develop techniques to socialize the people that society provides to the organization so that members will embrace organizational goals. More will be discussed on this responsibility of the leader in Lesson 30.

Coping with the Environment

Now that we have looked at what constitutes the relevant environment (both task and cultural) and the implications for the leadership process, the next logical step is to address the question, “What strategies can a leader employ to reduce the uncertainty existing in the environment?” In other words, how can leaders limit the effects of, or take advantage of, forces in the environment that influence the achievement of organizational goals (refer to the beginning of the lesson for a discussion of these forces; e.g., users, suppliers, competitors, regulatory groups, and the societal or cultural environment)? Basically, the leader can employ the following strategies to gain control of the environment:

1. Increase organizational certainty by anticipating occurrences in the environment, thus reducing their potential to provide uncertainty.
2. Reduce the relevance of environmental factors by decreasing organizational dependency on the environment; that is, change the existing state of the organization’s dependent relations on the environment.

⁵⁴ Henderson, *op. cit.*, p. xv.

By increasing the certainty and reducing the dependence of the organization on environmental factors, the leader is able to achieve a greater degree of control over the activities of the organization.

Anticipating Environmental Uncertainty

J.D. Thompson offers the organizational leader a series of propositions aimed at reducing the uncertainty of elements in the organization's task environment.⁵⁵ Recognizing that organizations can be defined by the primary activity or mission they must accomplish, all of the components of the organization that deal directly with that primary activity make up what Thompson calls the technical core or core activity of the organization. For example, the technical core of a restaurant's organization consists of activities oriented to preparing and serving food. Similarly, the enforcement elements of the police are oriented to the goal of deterring crime and enforcing the law. Thompson hypothesizes that organizations are most effective when they are able to reduce the uncertainty that originates in the external environment and that affects activities in the technical core. The focal organization is assumed to be most effective when organizational leaders are able to anticipate events in the environment that affect the performance of their primary mission. As we discussed in the lesson on Leadership in Complex Organizations, the organizational leader looks into the environment and forms strategies to mitigate the potential effects of environmental uncertainty. Thompson outlines four basic strategies to accomplish this.

First, if the organizational leader recognizes or anticipates an uncertain environment, the leader can seek to buffer the organization by creating separate components or agencies to attend to specific potential sources of environmental uncertainty. It may help to think in terms of an automobile factory. In order to construct automobiles, skilled and unskilled manpower and the raw or finished materials (tires, tools, steel, etc.) must be available to the leader. Also, the leader must have an idea of how many automobiles to produce and a plan to get these automobiles to the consumer. Given the fluctuations in the demand for automobiles and the potential for uncertainty in the acquisition of necessary resources, the leader has a lot to deal with in terms of environmental uncertainty. Accordingly, the leader may decide to create separate liaison positions or departments from within his or her organization to mesh with marketing specialists, sales personnel, recruiters, buyers, and others who deal directly with the external environment. By doing this, leaders of organizations are free to devote more of their attention and efforts to the core activity—constructing automobiles. Similarly, in a police organization a chief's staff fulfills this buffering function. Personnel, intelligence, operations, and support officers devote their full efforts to attending to uncertainty in the environment with respect to each of their designated functional areas.

Another form of buffering is the function performed by a system of preventive maintenance. For example, when vehicles or equipment are required on a scheduled basis, the leader's ability to predetermine the maintenance requirements reduces the potential of a breakdown that would reduce the overall effectiveness of the organization. The strategy of buffering is, in essence, the surrounding of the organization with specialized agencies or components to absorb the uncertainty of the relevant task environment.

⁵⁵ The following discussion draws heavily from Thompson, *op. cit.*, Chapters 2 and 3.

A second strategy available to the organizational leader is to attempt to directly influence environmental factors that are inputs to the organization. *Smoothing out* refers to efforts by the organization to reduce the erratic nature of environmental input. An example of this process is illustrated by utility companies that offer inducements (savings) to those who use their services during low-use periods while charging premiums to those who use their services during high-use period overload. Similarly, when an organization such as a maintenance section is able to anticipate a period of heavy demand of its services, it can publicize this fact to the users of the maintenance service, thereby inducing the users to schedule their services during low anticipated use periods. The principle in all cases is the same: the organizational leader attempts to influence the relevant task environment to reduce the uncertainty associated with periods of either high or low demand.

A third strategy available to the organizational leader also addresses the anticipation of fluctuations in the relevant task environment. When environmental influences exist that cannot be buffered or smoothed, the organizational leader may adapt the organizational processes or structure to meet the demands coming from the environment. A leader whose primary activity is the performance of maintenance, for instance, and who anticipates a heavy demand for services may request additional trained personnel to assist during anticipated heavy use periods. The leader may also extend the working hours of the personnel. Similarly, organizational leaders may realize that there will be an anticipated period of low use, for example, during the Christmas holidays. The response of the leader may be to liberalize the leave or vacation policies during these periods of lessened environmental demand. Again, the principle involved in all these examples is the same: the leaders adjust their organizations to anticipated environmental fluctuations.

If all else fails in meeting environmental demand, a final strategy available to the leader is that of rationing. When resources in the environment necessary to organizational functioning are in short supply or when excessive demands are made upon the organization from the environment, rationing may be the only alternative open to the organizational leader. The principle of triage (sorting out medical casualties and first treating those with the greatest prospect for recovery) exercised by medical personnel in a disaster situation is an example of this strategy. Rationing is basically making the best of a bad situation, and for this reason should be used as a last resort.

This concludes our discussion of strategies that the leader can employ when anticipating environmental uncertainty. All of the strategies require the organizational leader to look at the environment and determine any elements that have the potential to disrupt smooth organizational functioning. Thompson makes clear why it is important for the organizational leader to anticipate the effects of a dynamic and fluctuating environment:

To the extent that environmental fluctuations can be anticipated...they can be treated as constraints on the technical core [major unit activity] ...To the extent that environmental fluctuations are unanticipated they interfere with the orderly operation of the core technology [major activity] and thereby reduce its performance. When such influences are anticipated and considered as constraints for a particular period of time, the technical core can operate as if it enjoyed a closed system.⁵⁶

⁵⁶ Thompson, *op. cit.*, p. 22.

Reducing Organizational Dependency

As we learned earlier, power is defined in terms of dependency and the availability of alternate means to required resources. In other words, person A has power relative to person B to the extent that person B is dependent on person A to provide some valuable resource and to the extent that person A has a monopoly over that resource. We can apply this basic concept to the relationship existing between any organization and its task environment. When we say that an organization is relatively powerless with respect to elements in its task environment, we mean that the organization depends heavily on specific elements in the environment for required support and that there are few alternative sources of the needed support. This possibility leads us to a consideration of strategies that might reduce the organization's dependence on specific elements in the environment.

One way leaders might reduce their relative lack of power vis-à-vis the environment is to acquire prestige with other environmental agencies. In essence, this strategy refers to the organizational leader's efforts to maintain a positive social image among the elements of its task environment. Gaining prestige is analogous to the principle behind the acquisition of referent power. That is, it is the least costly means by which to gain power. Public relations efforts in organizations are largely oriented to this specific purpose. If the police, for example, are able to portray a positive image to its citizenry, it has considerably less difficulty attracting and retaining adequate numbers of new officers. An organization with a good reputation operates as a self-fulfilling prophecy. Leaders at all levels of the organization should be aware that one of the linking-pin functions performed by the leader is the selling of the organization. This simply means that leaders should make efforts to establish a good reputation for their organizations and realize that in doing so, they gain a form of power over other elements in the environment. For example, a sub-unit leader with a good reputation in the organization will generally enjoy greater autonomy in the conduct of organizational affairs than one of lower regard.

Second, organizational leaders seek to minimize the power of the environment by maintaining several alternative sources of required resources. In other words, organizational leaders gain power by maintaining a variety of options for acquiring needed resources, rather than being dependent upon only one element in the task environment. The principle behind the establishment of a cartel in the oil industry, for example, is that several potentially competing sources join together to gain power over the consumer. When an Army unit's training schedule is suddenly disrupted because of the unavailability of a certain resource and no contingencies have been planned, the organizational leaders find themselves in a powerless situation. Imagine that an Army unit planning to conduct field operations relies exclusively on motor transportation to the field, and vehicles suddenly become unavailable. Only the leader who has maintained other options of transport (backup vehicle support, foot movement, etc.) will be able to accomplish the objective.

Finally, organizational leaders who are subject to environmental uncertainty can attempt to enlarge organizational boundaries and incorporate or co-opt uncertain environmental elements. Using this strategy, organizational leaders attempt to gain control of the contingency-producing elements, making them part of the organization. The general idea is to get potential enemies on one's side—a very effective method of reducing dependency and uncertainty. A classic case of this strategy in action is the automobile enterprise that owns its own steel producing company, tire manufacturing firm, glass factory, etc., so that it does not have to depend on uncertain elements in its environment.

This completes our analysis of strategies available to the organizational leader for reducing the dependence of the organization on uncertainty in the relevant environment. Use of these strategies is not confined to large-scale organizations but can be used at virtually every level of the organization. An organizational leader who actively anticipates the uncertainty in the environment and proactively attempts to control that uncertainty is effectively performing the function of a boundary spanner. Leaders who do not must resign themselves to the fact that organizational chaos is probable.

Summary

In this lesson, we have illustrated the importance of leaders being aware of any activities outside their organizational boundaries that may have an influence on the functioning of their organizations. Organizational leaders interact with elements of the environment at many points and must anticipate the potential impact that an uncertain environment may have. Elements in the environment that have the potential to disrupt or promote smooth organizational operations constitute what we have called the relevant environment. Leaders, while necessarily focusing most of their attention and efforts toward the reduction of uncertainty and dependence in the relevant environment, should nevertheless be aware of elements in the non-relevant environment that may at some future time become relevant. We also found that there are some aspects of the environment that are more easily controlled than others. This observation caused us to make a distinction between the task environment and the cultural environment. The particular importance of the cultural environment, including the values and norms existing in a society, was emphasized as being something that the leader must make a conscious effort to understand. Finally, several strategies were presented so that organizational leaders might better control the environmental uncertainty that affects the organization. The extent to which leaders are able to anticipate forces in the environment and be sufficiently proactive to do something about them determines their ability to accomplish the primary goals of their organizations.

Case Study

You have been the assistant chief responsible for Support Services for just over five years. One afternoon, as you are driving back to your office from a meeting in the community, you are shocked to hear a news item on your car radio. The station reports that council member Linda Chacon has just held a press conference to complain about the service provided by your division! When the news broadcast shifts to a sound bite of the council member's announcement, you hear Ms. Chacon say the following:

“Delays in the purchase and distribution of supplies, especially report forms and first aid equipment, have a tremendous negative effect on field police operations.”

According to the news reporter, Council Member Chacon intends to bring this issue before full council in one week. At that time, Ms. Chacon will introduce a motion to demand an investigation and a response by the police department.

You are hurt and angered by the broadcast and especially by Linda Chacon's accusations. You are aware that your division has problems, but you feel that they are far beyond your resources and ability to correct. Your staff is well trained and they work very hard, but they are gravely understaffed. Your entire operation is severely hampered by the lack of a modern, computerized materials management system. You are especially frustrated by the fact that you have made repeated budget requests for personnel and computer equipment, but these requests have been routinely denied by either the Assistant Chief for Administrative Services or the chief.

As soon as you walk into your office, you find a pink phone message asking you to call investigative reporter Tim Bally of the local newspaper. Right next to Tim Bally's message is a handwritten note from the chief, directing you to meet with him and Assistant Chief of Administrative Services, Donnybrook, immediately upon your return. “ASAP” is scrawled in red across the top of the note.

I. *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. *Analyze* the situation using the Leading the Environment Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

What is the technical core of this division?

What is the organization's task environment?

What are the sources of environmental uncertainty (information)?

What are the sources of organizational dependency (resources)?

What other environmental factors are influencing, or may influence, the organizational leaders?

Is information uncertainty damaging the technical core? How?

Is resource dependency damaging the technical core? How?

III. **Explain** any connection between any concept in the Leading the Environment Theory and any problems the organization is experiencing.

What are the effects of the organizational leader's(') action strategies on the organization's output given the environmental influences? What are the effects on the organization's internal components? How is the cultural environment affecting the members of the organization? How has the change(s) in one of the internal components changed the other internal components?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

LESSON 28: SHAPING ORGANIZATIONAL CULTURE

Introduction

This lesson consists of:

1. Shaping Organizational Culture
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 67-100.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**
 - II. **Analyze** the situation using concepts of Organizational Culture.
 - A. **Identify** any messages that are being communicated given by the organizational culture that may influence individual or group behavior.
 - B. **Identify** the artifacts that symbolize what the organization is about, (i.e., what it stands for).
 - C. **Identify** the espoused values and values in use (i.e., those values that are enforced by group norms and the reward system) in this situation.
 - D. **Identify** the underlying assumptions that are operating in the organization.
 - III. **Explain** how the underlying assumptions identified in your analysis influence people to either support or work against the organizational mission.
 - A. **Classify** the organizational culture as functional or dysfunctional with respect to its reason for being.
 - IV. **Select** appropriate embedding and reinforcing mechanisms that might be used to influence the organizational culture and help the accomplishment of the organizational mission.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess, evaluate,** and revise your leader plan.
3. **Complete a Student Journal entry** for Shaping Organizational Culture.

Think about your current work group. What messages are being communicated by the organizational culture that may influence individual or group behavior? What evident artifacts symbolize what the organization is about? What espoused

values and values in use (i.e., group norms) are evident in the organization? What underlying assumptions are operating in the organization? How do your underlying assumptions influence people to either support or work against the organizational mission? Would you say that the organizational culture in your work group is functional or dysfunctional? How could a leader use embedding mechanisms and/or reinforcing mechanisms in your work group to influence the organizational culture in order to enhance the accomplishment of the organizational mission? How could a leader assess whether or not the proposed leader plan would be successful?

MONKEYING AROUND: THE ORIGINS OF CULTURE

Courtesy of
SGT Don Grinder, Arlington County, Virginia Police Department, 2002

Start with a cage containing five monkeys. Inside the cage, hang a banana on a string and place a set of stairs under it. Before long, a monkey will go to the stairs and start to climb towards the banana. As soon as he touches the stairs, spray all of the other monkeys with cold water. After a while, another monkey makes an attempt with the same result—all the other monkeys are sprayed with cold water. Pretty soon, when another monkey tries to climb the stairs, the other monkeys will try to prevent it.

Now, put away the cold water. Remove one monkey from the cage and replace it with a new one. The new monkey sees the banana and wants to climb the stairs. To his surprise and horror, all of the other monkeys attack him. After another attempt and attack, he knows that if he tries to climb the stairs, he will be assaulted.

Next, remove another of the original five monkeys and replace it with a new one. The newcomer goes to the stairs and is attacked. The previous newcomer takes part in the punishment with enthusiasm! Likewise, replace a third original monkey with a new one, then a fourth, then the fifth.

Every time the newest monkey takes to the stairs, he is attacked. Most of the monkeys that are beating him have no idea why they were not permitted to climb the stairs or why they are participating in the beating of the newest monkey.

After replacing all the original monkeys, none of the remaining monkeys have ever been sprayed with cold water. Nevertheless, no monkey ever again approaches the stairs to try for the banana.

Why not?

Because as far as they know that's the way it's always been done around here.

And that, my friends, is how organizational culture begins.

Organizational Culture

Introduction

In the last two lessons we learned how to anticipate, respond to, and sometimes control environmental influences in order to better pursue our organizational goals. As leaders, we try to protect our technical core (the primary functions of our organization) from disruptive environmental influences. In this lesson we will ask ourselves some questions about the technical core we are trying to protect. Specifically, we want to know how our organization defines what to do, why it needs to be done, and how to do it correctly. In other words, what defines the relationship among the components of the throughput processes in our specific organization and the relationship between the organization and its environment?

Schein (1996) suggests that one problem with leadership theories is that at a higher level of analysis, they “lack a concern with organizational dynamics, particularly the fact that organizations have different needs and problems at different stages in their evolution” (p.

60). Leadership should not be considered in a vacuum; leaders have an important relationship with the organization. Their behavior is shaped by the organization's culture as much, if not more, than is their ability to change the organization's culture. "Culture is the result of a complex group learning process that is only partially influenced by leader behavior."⁵⁷

An organization's culture provides the common bond that links the throughput processes in a coherent manner. In this way, it functions either as an aid to leadership in moving the organizational components in the same direction, or it counters organizational leadership that attempts to influence those same components. Studying organizational culture helps us understand why one company may have dash, panache, decentralized control and an emphasis on individual initiative, while another may value stability, centralized control, group accomplishment and conformity. It is easy to see that each of these units has a different personality, but it is not easy to isolate and explain how they are different and what causes them to be the way they are. This lesson will help us to define and understand an organization's culture and to design specific actions that leaders can take to somewhat influence it.

The idea that an organization's observable activities are guided by something that is unseen and not explicitly stated—the organization's culture—is a difficult concept to grasp. We live in a world of the tangible (what we see, feel, hear, taste or smell), and so the intangible presents many difficulties and uncertainties for us. How do we know that something that is unseen and not stated actually exists? If it does exist, why is it relevant to leaders who constantly deal with seen, stated, and real problems?

In order to define and explain the significance of an organization's culture, leaders must begin by identifying those things that can be observed and heard in an organization. From these tangible items, we infer the intangible. In other words, the tangible elements of an organization provide us with evidence of the intangible values that define the culture.

An organization's culture significantly impacts the processes within that organization. Correctly identifying the values and assumptions that define the culture is quite a challenge. The purpose of this reading is to help you understand not only the linkages between the tangible and intangible but also how leaders can influence the culture within their organization. But first let's step back and define this concept we call *culture*:

An organization's culture is a pattern of shared basic assumptions that the group has learned as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and is, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems.⁵⁸

You may already begin to recognize the importance of culture just by reviewing the definition above. "The correct way to perceive, think, and feel" establishes the agreed-upon actions that individuals and groups can take while members of the organization. Moreover, because these agreements are often subconscious, explaining to outsiders the reasons behind the way "things are done around here" is often very difficult for organizational insiders. It is also important for us to realize that a culture is neither good nor bad. Instead, our focus is on

⁵⁷ Schein, Edgar H., *Organizational Culture and Leadership*, San Francisco: Josey-Bass, 1992, p. 5.

⁵⁸ *Op. cit.*, p. 12.

determining what the values and assumptions are and whether they are consistent with the accomplishment of the organizational goals.

The Functions of Culture

Organizational cultures help members deal with the challenges of external adaptation and internal integration. Culture helps organization members cope with the external environment by developing shared understandings about the organization's basic mission and strategy, the organization's goals and appropriate means to achieve them, standards used to measure progress, and corrective action that may be used to enhance goal accomplishment. In these ways, culture provides members with collective understandings or consensus on issues involving the organization's survival. Culture is to organization members what personality is to the individual. Earlier in the course, you learned how personality affects an individual's perception regarding stimuli in the environment. In this lesson, we will see that culture often affects the organization's collective perception in a similar fashion.

Problems of internal integration are associated with the ways that the organization's members are expected to work together. Organizational culture can build this work climate through creating a common language or jargon, creating consensus on criteria for group membership, clarifying power and status differentials, providing standards for interaction and friendship, identifying how rewards and punishments are deserved, and establishing ideologies to provide meaning to unexplainable events. Culture is a "mechanism of social control, and can be the basis of explicitly manipulating members into perceiving, thinking, and behaving in certain ways."⁵⁹

Culture also serves as the primary message provided to new members entering an organization. The socialization (either formal or informal) that occurs with new members usually deals with issues of external adaptation and internal integration. New members are told about "the way we do things around here," or "what you need to do to get ahead." Culture is transmitted in organizations in a similar manner to roles and status in small groups.

The Levels of Culture Artifacts, Shared Values and Underlying Assumptions

Analyzing an organization's culture is no different from other types of analysis that leaders perform. In order to get to the root of an organization's culture, we have to peel back several layers. These layers, or levels, offer many clues in our effort to define the organization's culture.

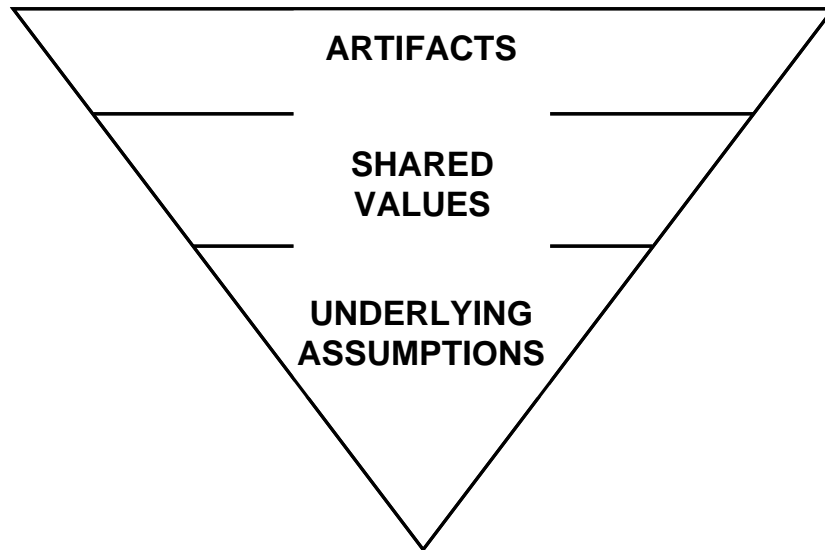
Identifying Artifacts

In any organization there are objects and behaviors that can be observed. All of these observable objects are called *artifacts*. Artifacts can be seen, touched, and heard. They include an organization's physical layout, dress code, emotional intensity, records, reports, formal statements of philosophy, the manner in which people address each other, and the smell and feel of the workplace. Through careful analysis of artifacts, we can infer something about the organization. Although artifacts are observable, they begin to outline for us things that are not observable. In other words, the artifacts (what is seen) in an organization can

⁵⁹ *Op. cit.*, p. 13.

indicate what the organization values. They are symbolic of the way the organization perceives, thinks, and feels. The unstated assumptions (the culture) that govern the way people act in the organization may be determined through an examination of identified artifacts and the shared values (see Figure 52).

Figure 52. The Levels of Culture



Identifying Shared Values

As a leader attempts to discover more about the organization's culture, we leave those things that are observable and begin to gather information regarding what the organization values. Shared values, while generally symbolized by artifacts, require more intense inquiry. Because police leaders must quickly achieve an understanding of the unit's culture, they must analyze the shared values of the organization to ensure that those values are consistent with the unit's mission. As the new leader observes the artifacts in the organization, and is socialized, he or she gains information about the values present under the surface. Through a combination of artifacts and discussions with unit members, the new leader can develop an understanding of those values that the organization members share. The key connection in linking the artifacts with the underlying assumptions that represent the actual manner in which the organization behaves is the notion of *beliefs or values*.

Values influence our behavior because they affect how we perceive, think, and behave in response to our interactions with the environment. Leadership and behavior are value based. At the institutional level, we expect our employees to possess the values of courage, candor, competence, and compassion. At the organizational level, we value loyalty, selfless service, duty and integrity to name just a few. At the unit level, value may be placed upon efficiency, control, flexibility, or office safety, depending on the focus of the organizational leader and upon actions and events that have proved successful for the unit in the past. These values become embodied in an ideology such as our professional police ethic or in an organizational philosophy that serves as a guide for dealing with surrounding events, particularly under conditions of uncertainty, ambiguity, and complexity.

Identifying Underlying Assumptions

When an organization has shared values, these values and beliefs permeate every aspect of that organization in such a manner that they become self-reinforcing. In other words, when the organization has success, it is assumed that the shared values had a positive impact on this success. These values permeate police organizations and when shared, reinforced, and validated as successful in solving the problems of organizational survival and effectiveness, they gradually become transformed into underlying assumptions, “supported by articulated sets of beliefs, norms, and operational rules of behavior.”⁶⁰

These underlying assumptions influence the unconscious thought of organizational members and influence every aspect of the organization. Collectively, these assumptions reflect the organization’s view of the correct way to perceive, think, and feel. Underlying assumptions that form the basis of culture are simply taken-for-granted truths about how people should act and think. For example, a cultural assumption in the American 1950’s was that women should be at home and that it was their job to take care of kids while the husband worked. Another cultural assumption was that blacks were inferior to whites. Note that the litmus test for classification of assumption is that it is almost universally taken for granted and thus not questioned. “Subconscious” is probably the best word to describe it. The bottom line is that assumptions are driven into people’s subconscious by surrounding them with artifacts, writing out rules and value statements for all in the organization to see, and by using the embedding and reinforcing mechanisms Schein identifies.

It is critical at this juncture to explain that to reach or define this unconscious level of culture requires assessing artifacts, interviewing organizational members about those artifacts and the values they symbolize, and spending a considerable period of time analyzing the organization as an outsider. Leaders entering new organizations or units are able to perform an objective cultural analysis. This analysis is generally limited to observing the artifacts that symbolize the culture and inferring the values that organizational members share or collectively uphold. Through this analysis, one can often identify the common underlying assumptions.

Assessing Culture

The Difficulty in Assessing Culture

Up to this point, you hopefully have seen the power that culture wields in shaping an organization. You have probably also noted that trying to define the characteristics of an organization’s culture is an extremely difficult thing to do. Unfortunately for the organizational leader, assessing this culture is no easier. Rarely will a leader find a culture that is totally non-supportive of the organization’s goals and/or mission. To understand why requires us to revisit why an organization’s culture exists as it does in the first place. In many ways, the organization has deemed that the elements of their culture make a positive contribution to the organization’s success. Therefore, it is highly unlikely that we will find cultures that are totally dysfunctional. Over time, these cultures adapt and gradually transform to reinforce success, or the organizations themselves simply cease to exist (survival of the fittest applies to more than just animals!).

⁶⁰ *Op. cit.*, p. 13.

Determining the Strength of Culture

In order for the leader to accurately assess a culture, the leader must first be aware that all cultures do not have an equally strong influence on behavior. Not unlike individual personalities, some organizations have strong cultures that affect behavior at all levels, while others have weak cultures with negligible influence on the behavior of organizational members. The strength of a culture is a function of the stability of the group, the length of time the group has existed, the intensity of group experiences, and the clarity of the underlying assumptions. A police S.W.A.T. team, after successfully completing several difficult missions together, might have a strong culture; whereas a newly formed police recruit class may begin with a relatively weak culture.

Organizations with strong cultures are often characterized by the feeling of efficiency, stability, and comfort within the organization. This occurs because automatic patterns of thinking, perceiving, and feeling (driven by shared assumptions) streamline communication and allow members to understand and predict events that occur in the environment and within the organization. In this sense, a strong culture can be an asset to the organization. Shared feelings about the use of the chain of command, wear of uniforms, and proper courtesy allow the police to conduct its daily business with minimum friction.

A strong culture can also become a liability when the things that are being efficiently done are not necessarily consistent with organizational expectations. If culture guides behavior in inappropriate ways, then the organization is efficient but not optimally effective. “Inappropriate” as used here does not imply “bad.” It implies a culture that does not contribute to the attainment of organizational goals, given current conditions. Efficiency does not equal effectiveness. Keeping this in mind, it is not difficult to imagine a situation where a strong culture can actually, in some ways, be a disadvantage, especially when organizational change is required to adapt to a rapidly changing environment.

An excellent example of the pitfalls of having a strong culture can be seen in General Motors in the early 1980s. There were obvious changes in the automotive industry during this time frame. General Motors’ strong culture, particularly its desire to dominate its environment through mass production, led to a resistance to change and, in turn, a large decrease in profits. On the other hand, one could argue that while GM’s strong culture may have contributed to a temporary slump in business, it ultimately enabled it to persevere through that slump and again move to the forefront of the industry in the 1990s.

Cultures and Subcultures

Any definable group may have a culture if there has been enough shared history to allow the development of shared underlying assumptions. If the entire organization has had similar experiences and holds common assumptions, then one monolithic culture may exist. It is also possible that sublevels of organizations may develop independent, possibly even conflicting, cultures.

The key point is that organizations may contain sub-units with subcultures. It is therefore essential to define what level of the organization is being analyzed.

Evaluating the Underlying Assumptions

Keeping in mind that it is rare to find an organization whose culture is totally inconsistent with its goals and mission, a leader must nonetheless carefully look at each assumption and

determine if it indeed supports these two elements. Then the leader must determine whether or not that assumption is in fact a large contributor to the strength of the organization's culture. For example, imagine that General Motors' leadership determines that in order to regain its once lofty position in the industry, the individual worker must take more initiative--yet all the artifacts and shared values point to the fact that individual initiative is usually squashed. This is an aspect of the culture, then, that must change. Nevertheless, this does not invalidate General Motors' entire culture. It simply means that some aspect of that culture, in this case the way the organization expects people to act, is not consistent with the organization's goals and mission.

Influencing Culture: The Leader's Role

Culture has a powerful effect on an organization because common underlying assumptions guide the behavior of its members. Moreover, this powerful effect is often overlooked because the underlying assumptions are taken for granted, and people are not consciously aware of them.

Leaders cannot afford to overlook culture. Unfortunately, just as it is difficult for a leader to determine and assess the culture of an organization, it can be even more difficult for a leader to influence an organization's culture. As a leader enters an organization, the leader should be aware of the three very different roles that could evolve for him or her, depending on where the unit is at in its life cycle.

The Leader's Role in Creating an Organization's Culture

Perhaps the time when a leader can have the most influence on an organization's culture is when an organization is first being created. While most of us are not fortunate enough to be a part of organizations when they are started, we may nevertheless find ourselves in this position. Possibly the most significant task that the leader would have in this situation would be to clearly define the organization's mission and goals. If this step is taken accurately and in a timely manner, then the chances of developing a culture that can support the successful pursuit and accomplishment of these goals are increased.

The Leader's Role in Sustaining an Organization's Culture

While it may not be as glamorous as creating or drastically overhauling a culture, every leader will be involved in sustaining aspects of an organization's culture. The sustaining of a culture can easily be equated to the strengthening of a culture. Keeping this in mind, it logically follows that a leader in this situation would want to engage in activities that increase the stability of the group, build cohesion, and take any measures to increase the clarity of the underlying assumptions that are most important in sustaining the strength of the culture.

The Leader's Role in Changing an Organization's Culture

By far the most challenging role that a leader can have with respect to culture is that of a change agent. Simply stated, this role exists when the leader realizes that the culture of an organization does not effectively support the achievement of its goals and mission. In this role, the multitudes of challenges that have been previously identified exist in such a way that

the task can seem almost impossible. For this very reason, many leaders are understandably hesitant to take on the task of cultural change.

Leaders who are about to undertake cultural change in their organizations must understand before they begin that the path that they have chosen, albeit valiant, will not necessarily be smooth. Organizational resistance, a decrease in efficiency and effectiveness, an increase in turnover, and frustration and stress are all possibilities that the responsible leader must consider before undertaking the task of changing an organization's culture.

Additionally, since culture is a set of common values and assumptions, no one person can hope to quickly or totally change an organization's culture. Patience is critical. At best, cultural change is something that is realistically seen over a period of months, not weeks. This does not, of course, mean that deliberate cultural change cannot be accomplished. By systematically acting on the outside layer of an organization's culture, a leader can influence culture and may over time significantly alter the values and underlying assumptions that direct the organization's behavior.

Embedding and Reinforcing Mechanisms

Embedding and *reinforcing* mechanisms are ways leaders can attempt to change artifacts in an organization. Over time the new embedded artifacts may be accepted, taken for granted, and eventually may alter an underlying assumption. When this process is complete, culture has been influenced and possibly changed. Embedding mechanisms are the primary means of influencing culture. Reinforcing mechanisms are secondary because they are only useful if they are consistent with the primary embedding mechanisms. If they are inconsistent, they will be ignored. For example, if a leader states a formal philosophy for the organization (a reinforcing mechanism) but his actions in terms of role modeling and paying attention (embedding mechanisms) are counter to the stated philosophy, the philosophy will probably be ignored.

Embedding Mechanisms:

1. *Attention, Measurement, and Control.* Those things a leader consistently notices (what the boss checks), pays attention to, and systematically deals with will communicate what is valued and what norms the leader deems appropriate. If shined shoes are consistently checked by a leader, shined shoes will become the norm. However, if other things are more important, the attention to shoe appearance may be misplaced.
2. *Reactions to Critical Incidents.* How leaders react to organizational crises will uncover and communicate underlying assumptions to employees.
3. *Deliberate Role Modeling.* The leader sets the example. Powerful role modeling is provided by what the leader does, not necessarily what he or she says. For leaders, actions truly speak louder than words. A leader who participates in a rigorous personal fitness program would be embedding the importance of physical training through deliberate role modeling.
4. *Criteria for Reward Allocation.* An organization's leaders can emphasize their own priorities, values, and assumptions by linking rewards and punishments to the behaviors they deem important.

5. *Criteria for Recruitment, Selection, and Retention.* An existing culture can be reinforced or a new culture introduced by the careful selection and retention of members who fit the culture.

Reinforcing Mechanisms:

1. *Organizational Design and Structure.* A tight, hierarchical, centralized structure communicates that correct thoughts come from the top and that followers should passively accept their roles. Decentralized organizations with few levels of management reinforce independent thought and individual action.
2. *Organizational Systems and Procedures.* The daily routines, procedures, reports, forms, and recurrent tasks that occur in an organization can formalize the process of paying attention. Systems and procedures reinforce the message of what is important.
3. *Design of Physical Space.* The design and layout of workspace helps determine which individuals or groups interact, the degree of group versus individual work (private offices vs. cubicles), and the degree of formality between people and organizational functions. Implications for status and role definition also exist in office location, desk size, etc.
4. *Stories, Legends, Myths and Parables.* The history of an organization embodied in war stories and tales of important events teaches assumptions and values to new members. The leader cannot always control what others will say but can determine which stories are personally emphasized and provide raw material for new stories by personal actions.
5. *Formal Statements about Organizational Philosophy.* Formal statements of artifacts and assumptions can explicitly communicate the culture of an organization directly to followers. Examples include mission statements, vision and core values, philosophy, and guiding principles.

Associated Press
Published May 27, 2002

An edited version of Minneapolis FBI Agent Coleen Rowley's Memo to FBI Director Robert Mueller, as posted on TIME magazine's Web site:

May 21, 2002

Dear Director Mueller:

I feel at this point that I have to put my concerns in writing concerning the important topic of the FBI's response to evidence of terrorist activity in the United States before September 11th. The issues are fundamentally ones of INTEGRITY and go to the heart of the FBI's law enforcement mission and mandate. Moreover, at this critical juncture in fashioning future policy to promote the most effective handling of ongoing and future threats to United States citizens' security, it is of absolute importance that an unbiased, completely accurate picture emerge of the FBI's current investigative and management strengths and failures.

To get to the point, I have deep concerns that a delicate and subtle shading/skewing of facts by you and others at the highest levels of FBI management has occurred and is occurring. The term "cover up" would be too strong a characterization which is why I am attempting to carefully (and perhaps over laboriously) choose my words here. I base my concerns on my relatively small, peripheral but unique role in the Moussaoui investigation in the Minneapolis Division prior to, during and after September 11th and my analysis of the comments I have heard both inside the FBI (originating, I believe, from you and other high levels of management) as well as your Congressional testimony and public comments. I feel that certain facts, including the following, have, up to now, been omitted, downplayed, glossed over and/or mischaracterized in an effort to avoid or minimize personal and/or institutional embarrassment on the part of the FBI and/or perhaps even for improper political reasons:

- 1) The Minneapolis agents who responded to the call about Moussaoui's flight training identified him as a terrorist threat from a very early point. The decision to take him into custody on August 15, 2001, on the INS "overstay" charge was a deliberate one to counter that threat and was based on the agents' reasonable suspicions. While it can be said that Moussaoui's overstay status was fortuitous, because it allowed for him to be taken into immediate custody and prevented him receiving any more flight training, it was certainly not something the INS coincidentally undertook of their own volition. I base this on the conversation I had when the agents called me at home late on the evening Moussaoui was taken into custody to confer and ask for legal advice about their next course of action. The INS agents was (sic) assigned to the FBI's Joint Terrorism Task Force and was (sic) therefore working in tandem with FBI agents.

- 2) As the Minneapolis agents' reasonable suspicions quickly ripened into probable cause, which, at the latest, occurred within days of Moussaoui's arrest when the French Intelligence Service confirmed his affiliations with radical fundamentalist Islamic groups and activities connected to Osama Bin Laden, they became desperate to search the computer lap top that had been taken from Moussaoui as well as conduct a more thorough search of his personal effects. The agents in particular believed that Moussaoui signaled he had something to hide in the way he refused to allow them to search his computer.

- 3) The Minneapolis agents' initial thought was to obtain a criminal search warrant, but in order to do so, they needed to get FBI Headquarters' (FBIHQ's) approval in order to ask for DOJ OIPR's approval to contact the United States Attorney's Office in Minnesota. Prior to and even after receipt of information provided by the French, FBIHQ personnel disputed with the Minneapolis agents the existence of probable cause to believe that a criminal violation had occurred/was occurring. As such, FBIHQ personnel refused to contact OIPR to attempt to get the authority. While reasonable minds may differ as to whether probable cause existed prior to receipt of the French intelligence information, it was certainly established after that point and became even greater with successive, more detailed information from the French and other intelligence sources. The two possible criminal violations initially identified by Minneapolis Agents were violations of Title 18 United States Code Section 2332b (Acts of terrorism transcending national boundaries, which, notably, includes "creating a substantial risk of serious bodily injury to any other person by destroying or damaging any structure, conveyance, or other real or personal property within the United States or by attempting or conspiring to destroy or damage any structure, conveyance, or other real or personal property within the United States") and Section 32 (Destruction of aircraft or aircraft facilities). It is important to note that the actual search warrant obtained on September 11th was based on probable cause of a violation of Section 32. (1) Notably also, the actual search warrant obtained on September 11th did not include the French intelligence information. Therefore, the only main difference between the information being submitted to FBIHQ from an early date which HQ personnel continued to deem insufficient and the actual criminal search warrant which a federal district judge signed and approved on September 11th, was the fact that, by the time the actual warrant was obtained, suspected terrorists were known to have hijacked planes which they then deliberately crashed into the World Trade Center and the Pentagon. To say then, as has been iterated numerous times, that probable cause did not exist until after the disastrous (sic) event occurred, is really to acknowledge that the missing piece of probable cause was only the FBI's (FBIHQ's) failure to appreciate that such an event could occur. The probable cause did not otherwise improve or change. When we went to the United States Attorney's Office that morning of September 11th, in the first hour after the attack, we used a disk containing the same information that had already been provided to FBIHQ; then we quickly added Paragraph 19 which was the little we knew from news reports of the actual attacks that morning. The problem with chalking this all up to the "20-20 hindsight is perfect" problem, (which I, as all attorneys who have been involved in deadly force training or the defense of various lawsuits are fully appreciative of), is that this is not a case of everyone in the FBI failing to appreciate the potential consequences. It is obvious, from my firsthand knowledge of the events and

the detailed documentation that exists, that the agents in Minneapolis who were closest to the action and in the best position to gauge the situation locally, did fully appreciate the terrorist risk/danger posed by Moussaoui and his possible co-conspirators even prior to September 11th. Even without knowledge of the Phoenix communication (and any number of other additional intelligence communications that FBIHQ personnel were privy to in their central coordination roles), the Minneapolis agents appreciated the risk. So I think it's very hard for the FBI to offer the "20-20 hindsight" justification for its failure to act! Also intertwined with my reluctance in this case to accept the "20-20 hindsight" rationale is first-hand knowledge that I have of statements made on September 11th, after the first attacks on the World Trade Center had already occurred, made telephonically by the FBI Supervisory Special Agent (SSA) who was the one most involved in the Moussaoui matter and who, up to that point, seemed to have been consistently, almost deliberately thwarting the Minneapolis FBI agents' efforts (see number 5). Even after the attacks had begun, the SSA in question was still attempting to block the search of Moussaoui's computer, characterizing the World Trade Center attacks as a mere coincidence with Minneapolis' prior suspicions about Moussaoui. (2)

- 4) In one of my peripheral roles on the Moussaoui matter, I answered an e-mail message on August 22, 2001, from an attorney at the National Security Law Unit (NSLU). Of course, with (ever important!) 20-20 hindsight, I now wish I had taken more time and care to compose my response. When asked by NSLU for my "assessment of (our) chances of getting a criminal warrant to search Moussaoui's computer," I answered, "Although I think there's a decent chance of being able to get a judge to sign a criminal search warrant, our USAO seems to have an even higher standard much of the time, so rather than risk it, I advised that they should try the other route." Leaked news accounts which said the Minneapolis Legal Counsel (referring to me) concurred with the FBIHQ that probable cause was lacking to search Moussaoui's computer are in error. (or possibly the leak was deliberately skewed in this fashion?) What I meant by this pithy e-mail response, was that although I thought probable cause existed ("probable cause" meaning that the proposition has to be more likely than not, or if quantified, a 51% likelihood), I thought our United States Attorney's Office, (for a lot of reasons including just to play it safe) in regularly requiring much more than probable cause before approving affidavits, (maybe, if quantified, 75%-80% probability and sometimes even higher), and depending on the actual AUSA who would be assigned, might turn us down. As a tactical choice, I therefore thought it would be better to pursue the "other route" (the FISA search warrant) first, the reason being that there is a common perception, which for lack of a better term, I'll call the "smell test" which has arisen that if the FBI can't do something through straight-up criminal methods, it will then resort to using less-demanding intelligence methods. Of course, this isn't true, but I think the perception still exists. So, by this line of reasoning, I was afraid that if we first attempted to go criminal and failed to convince an AUSA, we wouldn't pass the "smell test" in subsequently seeking a FISA. I thought our best chances therefore lay in first seeking the FISA. Both of the factors that influenced my thinking are areas arguably in need of improvement: requiring an excessively high standard of probable cause in terrorism cases and getting rid of the "smell test" perception. It could even be argued that FBI agents, especially in terrorism cases where time is of the essence, should be allowed to go directly to federal judges to

have their probable cause reviewed for arrests or searches without having to gain the USAO's approval.(4)

- 5) The fact is that key FBIHQ personnel whose jobs it was to assist and coordinate with field division agents on terrorism investigations and the obtaining and use of FISA searches (and who theoretically were privy to many more sources of intelligence information than field division agents), continued to, almost inexplicably (5), throw up roadblocks and undermine Minneapolis' by-now desperate efforts to obtain a FISA search warrant, long after the French intelligence service provided its information and probable cause became clear. HQ personnel brought up almost ridiculous questions in their apparent efforts to undermine the probable cause. (6) In all of their conversations and correspondence, HQ personnel never disclosed to the Minneapolis agents that the Phoenix Division had, only approximately three weeks earlier, warned of Al Qaeda operatives in flight schools seeking flight training for terrorist purposes! Nor did FBIHQ personnel do much to disseminate the information about Moussaoui to other appropriate intelligence/law enforcement authorities. When, in a desperate 11th hour measure to bypass the FBIHQ roadblock, the Minneapolis Division undertook to directly notify the CIA's Counter Terrorist Center (CTC), FBIHQ personnel actually chastised the Minneapolis agents for making the direct notification without their approval!

- 6) Eventually on August 28, 2001, after a series of e-mails between Minneapolis and FBIHQ, which suggest that the FBIHQ SSA deliberately further undercut the FISA effort by not adding the further intelligence information which he had promised to add that supported Moussaoui's foreign power connection and making several changes in the wording of the information that had been provided by the Minneapolis Agent, the Minneapolis agents were notified that the NSLU Unit Chief did not think there was sufficient evidence of Moussaoui's connection to a foreign power. Minneapolis personnel are, to this date, unaware of the specifics of the verbal presentations by the FBIHQ SSA to NSLU or whether anyone in NSLU ever was afforded the opportunity to actually read for him/herself all of the information on Moussaoui that had been gathered by the Minneapolis Division and the French intelligence service. Obviously verbal presentations are far more susceptible to mis-characterization and error. The e-mail communications between Minneapolis and FBIHQ, however, speak for themselves and there are far better witnesses than me who can provide their first hand knowledge of these events characterized in one Minneapolis agent's e-mail as FBIHQ is "setting this up for failure." My only comment is that the process of allowing the FBI supervisors to make changes in affidavits is itself fundamentally wrong, just as, in the follow-up to FBI Laboratory Whistleblower Frederic Whitehurst's allegations, this process was revealed to be wrong in the context of writing up laboratory results. With the Whitehurst allegations, this process of allowing supervisors to re-write portions of laboratory reports, was found to provide opportunities for over-zealous supervisors to skew the results in favor of the prosecution. In the Moussaoui case, it was the opposite—the process allowed the Headquarters Supervisor to downplay the significance of the information thus far collected in order to get out of the work of having to see the FISA application through or possibly to avoid taking what he may have perceived as an unnecessary career risk. (7) I understand that the failures of the FBIHQ personnel involved in the Moussaoui matter are

also being officially excused because they were too busy with other investigations, the Cole bombing and other important terrorism matters, but the Supervisor's taking of the time to read each word of the information submitted by Minneapolis and then substitute his own choice of wording belies to some extent the notion that he was too busy. As an FBI division legal advisor for 12 years (and an FBI agent for over 21 years), I can state that an affidavit is better and will tend to be more accurate when the affiant has first hand information of all the information he/she must attest to. Of necessity, agents must continually rely upon information from confidential sources, third parties and other law enforcement officers in drafting affidavits, but the repeating of information from others greatly adds to the opportunities for factual discrepancies and errors to arise. To the extent that we can minimize the opportunity for this type of error to arise by simply not allowing unnecessary re-writes by supervisory staff, it ought to be done. (I'm not talking, of course, about mere grammatical corrections, but changes of some substance as apparently occurred with the Moussaoui information which had to be, for lack of a better term, "filtered" through FBIHQ before any action, whether to seek a criminal or a FISA warrant, could be taken.) Even after September 11th, the fear was great on the part of Minneapolis Division personnel that the same FBIHQ personnel would continue their "filtering" with respect to the Moussaoui investigation, and now with the added incentive of preventing their prior mistakes from coming to light. For this reason, for weeks, Minneapolis prefaced all outgoing communications (ECs) in the PENTTBOM investigation with a summary of the information about Moussaoui. We just wanted to make sure the information got to the proper prosecutive authorities and was not further suppressed! This fear was probably irrational but was nonetheless understandable in light of the Minneapolis agents' prior experiences and frustrations involving FBIHQ. (The redundant preface information regarding Moussaoui on otherwise unrelative PENTTBOM communications has ended up adding to criminal discovery issues, but this is the reason it was done).

- 7) Although the last thing the FBI or the country needs now is a witch hunt, I do find it odd that (to my knowledge) no inquiry whatsoever was launched of the relevant FBIHQ personnel's actions a long time ago. Despite FBI leaders' full knowledge of all the items mentioned herein (and probably more that I'm unaware of), the SSA, his unit chief, and other involved HQ personnel were allowed to stay in their positions and, what's worse, occupy critical positions in the FBI's SIOC Command Center post September 11th. (The SSA in question actually received a promotion some months afterward!) It's true we all make mistakes and I'm not suggesting that HQ personnel in question ought to be burned at the stake, but, we all need to be held accountable for serious mistakes. I'm relatively certain that if it appeared that a lowly field office agent had committed such errors of judgment, the FBI's OPR would have been notified to investigate and the agent would have, at the least, been quickly reassigned. I'm afraid the FBI's failure to submit this matter to OPR (and to the IOB) gives further impetus to the notion (raised previously by many in the FBI) of a double standard which results in those of lower rank being investigated more aggressively and dealt with more harshly for misconduct while the misconduct of those at the top is often overlooked or results in minor disciplinary action. From all appearances, this double standard may also apply between those at FBIHQ and those in the field.

8) The last official “fact” that I take issue with is not really a fact, but an opinion, and a completely unsupported opinion at that. In the day or two following September 11th, you, Director Mueller, made the statement to the effect that if the FBI had only had any advance warning of the attacks, we (meaning the FBI), may have been able to take some action to prevent the tragedy. Fearing that this statement could easily come back to haunt the FBI upon revelation of the information that had been developed pre-September 11th about Moussaoui, I and others in the Minneapolis Office, immediately sought to reach your office through an assortment of higher level FBIHQ contacts, in order to quickly make you aware of the background of the Moussaoui investigation and forewarn you so that your public statements could be accordingly modified. When such statements from you and other FBI officials continued, we thought that somehow you had not received the message and we made further efforts. Finally when similar comments were made weeks later, in Assistant Director Caruso’s congressional testimony in response to the first public leaks about Moussaoui we faced the sad realization that the remarks indicated someone, possibly with your approval, had decided to circle the wagons at FBIHQ in an apparent effort to protect the FBI from embarrassment and the relevant FBI officials from scrutiny. Everything I have seen and heard about the FBI’s official stance and the FBI’s internal preparations in anticipation of further congressional inquiry, had, unfortunately, confirmed my worst suspicions in this regard. After the details began to emerge concerning the pre-September 11th investigation of Moussaoui, and subsequently with the recent release of the information about the Phoenix EC, your statement has changed. The official statement is now to the effect that even if the FBI had followed up on the Phoenix lead to conduct checks of flight schools and the Minneapolis request to search Moussaoui’s personal effects and laptop, nothing would have changed and such actions certainly could not have prevented the terrorist attacks and resulting loss of life. With all due respect, this statement is as bad as the first! It is also quite at odds with the earlier statement (which I’m surprised has not already been pointed out by those in the media!) I don’t know how you or anyone at FBI Headquarters, no matter how much genius or prescience you may possess, could so blithely make this affirmation without anything to back the opinion up than your stature as FBI Director. The truth is, as with most predictions into the future, no one will ever know what impact, if any, the FBI’s following up on those requests, would have had. Although I agree that it’s very doubtful that the full scope of the tragedy could have been prevented, it’s at least possible we could have gotten lucky and uncovered one or two more of the terrorists in flight training prior to September 11th, just as Moussaoui was discovered, after making contact with his flight instructors. It is certainly not beyond the realm of imagination to hypothesize that Moussaoui’s fortuitous arrest alone, even if he merely was the 20th hijacker, allowed the hero passengers of Flight 93 to overcome their terrorist hijackers and thus spare more lives on the ground. And even greater casualties, possibly of our Nation’s highest government officials, may have been prevented if Al Qaeda intended for Moussaoui to pilot an entirely different aircraft. There is, therefore at least some chance that discovery of other terrorist pilots prior to September 11th may have limited the September 11th attacks and resulting loss of life. Although your conclusion otherwise has to be very reassuring for some in the FBI to hear being repeated so often (as if saying it’s so may make it so), I think your statements demonstrate a rush to judgment to protect the FBI at

all costs. I think the only fair response to this type of question would be that no one can pretend to know one way or another.

Mr. Director, I hope my observations can be taken in a constructive vein. They are from the heart and intended to be completely apolitical. Hopefully, with our nation's security on the line, you and our nation's other elected and appointed officials can rise above the petty politics that often plague other discussions and do the right thing. You do have some good ideas for change in the FBI but I think you have also not been completely honest about some of the true reasons for the FBI's pre-September 11th failures. Until we come clean and deal with the root causes, the Department of Justice will continue to experience problems fighting terrorism and fighting crime in general.

I have used the "we" term repeatedly herein to indicate facts about others in the Minneapolis Office at critical times, but none of the opinions expressed herein can be attributed to anyone but myself. I know that those who know me would probably describe me as, by nature, overly opinionated and sometimes not as discreet as I should be. Certainly some of the above remarks may be interpreted as falling into that category, but I really do not intend anything as a personal criticism of you or anyone else in the FBI, to include the FBIHQ personnel who I believe were remiss and mishandled their duties with regard to the Moussaoui investigation. Truly my only purpose is to try to provide the facts within my purview so that an accurate assessment can be obtained and we can learn from our mistakes. I have pointed out a few of the things that I think should be looked at but there are many, many more. (8) An honest acknowledgment of the FBI's mistakes in this and other cases should not lead to increasing the Headquarters bureaucracy and approval levels of investigative actions as the answer. Most often, field office agents and field office management on the scene will be better suited to the timely and effective solution of crimes and, in some lucky instances, to the effective prevention of crimes, including terrorism incidents. The relatively quick solving of the recent mailbox pipe-bombing incidents which resulted in no serious injuries to anyone are a good example of effective field office work (actually several field offices working together) and there are hundreds of other examples. Although FBIHQ personnel have, no doubt, been of immeasurable assistance to the field over the years, I'm hard pressed to think of any case which has been solved by FBIHQ personnel and I can name several that have been screwed up! Decision-making is inherently more effective and timely when decentralized instead of concentrated.

Your plans for an FBI Headquarters' "Super Squad" simply fly in the face of an honest appraisal of the FBI's pre-September 11th failures. The Phoenix, Minneapolis and Paris Legal Attaché Offices reacted remarkably exhibiting keen perception and prioritization skills regarding the terrorist threats they uncovered or were made aware of pre-September 11th. The same cannot be said for the FBI Headquarters' bureaucracy and you want to expand that?! Should we put the counterterrorism unit chief and SSA who previously handled the Moussaoui matter in charge of the new "Super Squad"?! You are also apparently disregarding the fact the Joint Terrorism Task Forces (JTTFs), operating out of field divisions for years, (the first and chief one being New York City's JTTF), have successfully handled numerous terrorism investigations and, in some instances, successfully prevented acts of terrorism. There's no denying the need for more and better intelligence and intelligence management, but you should think carefully about how much gate keeping power should be entrusted with any HQ entity. If we are indeed in a "war," shouldn't the

Generals be on the battlefield instead of sitting in a spot removed from the action while still attempting to call the shots?

I have been an FBI agent for over 21 years and, for what it's worth, have never received any form of disciplinary action throughout my career. From the 5th grade, when I first wrote the FBI and received the "100 Facts about the FBI" pamphlet, this job has been my dream. I feel that my career in the FBI has been somewhat exemplary, having entered on duty at a time when there was only a small percentage of female Special Agents. I have also been lucky to have had four children during my time in the FBI and am the sole breadwinner of a family of six. Due to the frankness with which I have expressed myself and my deep feelings on these issues, (which is only because I feel I have a somewhat unique, inside perspective of the Moussaoui matter, the gravity of the events of September 11th and the current seriousness of the FBI's and United States' ongoing efforts in the "war against terrorism"), I hope my continued employment with the FBI is not somehow placed in jeopardy. I have never written to an FBI Director in my life before on any topic. Although I would hope it is not necessary, I would therefore wish to take advantage of the federal "Whistleblower Protection" provisions by so characterizing my remarks.

Sincerely Coleen M. Rowley
Special Agent and Minneapolis Chief Division Counsel

NOTES

- 1) And both of the violations originally cited in vain by the Minneapolis agents disputing the issue with FBIHQ personnel are among those on which Moussaoui is currently indicted.
- 2) Just minutes after I saw the first news of the World Trade Center attack(s), I was standing outside the office of Minneapolis ASAC M. Chris Briesse waiting for him to finish with a phone call, when he received a call on another line from this SSA. Since I figured I knew what the call may be about and wanted to ask, in light of the unfolding events and the apparent urgency of the situation, if we should now immediately attempt to obtain a criminal search warrant for Moussaoui's laptop and personal property, I took the call. I said something to the effect that, in light of what had just happened in New York, it would have to be the "hugest coincidence" at this point if Moussaoui was not involved with the terrorists. The SSA stated something to the effect that I had used the right term, "coincidence" and that this was probably all just a coincidence and we were to do nothing in Minneapolis until we got their (HQ's) permission because we might "screw up" something else going on elsewhere in the country.
- 3) Certainly Rule 41 of the Federal Rules of Criminal Procedure which begins, "Upon the request of a federal law enforcement officer or an attorney for the government" does not contain this requirement. Although the practice that has evolved is that FBI agents must secure prior approval for any search or arrest from the United States Attorneys Office, the Federal Rule governing Search and Seizure clearly envisions law enforcement officers applying, on their own, for search warrants.
- 4) During the early aftermath of September 11th, when I happened to be recounting the pre-September 11th events concerning the Moussaoui investigation to other FBI personnel in

other divisions or in FBIHQ, almost everyone's first question was "Why?—Why would an FBI agent(s) deliberately sabotage a case? (I know I shouldn't be flippant about this, but jokes were actually made that the key FBIHQ personnel had to be spies or moles, like Robert Hansen, who were actually working for Osama Bin Laden to have so undercut Minneapolis' effort.) Our best real guess, however, is that, in most cases avoidance of all "unnecessary" actions/decisions by FBIHQ managers (and maybe to some extent field managers as well) has, in recent years, been seen as the safest FBI career course. Numerous high-ranking FBI officials who have made decisions or have taken actions which, in hindsight, turned out to be mistaken or just turned out badly (i.e. Ruby Ridge, Waco, etc.) have seen their careers plummet and end. This has in turn resulted in a climate of fear which has chilled aggressive FBI law enforcement action/decisions. In a large hierarchal bureaucracy such as the FBI, with the requirement for numerous superiors approvals/oversight, the premium on career-enhancement, and interjecting a chilling factor brought on by recent extreme public and congressional criticism/oversight, and I think you will see at least the makings of the most likely explanation. Another factor not to be underestimated probably explains the SSA and other FBIHQ personnel's reluctance to act. And so far, I have heard no FBI official even allude to this problem—which is that FBI Headquarters is staffed with a number of short term careerists* who, like the SSA in question, must only serve an 18-month just-time-to-get-your-ticket-punched minimum. It's no wonder why very little expertise can be acquired by a Headquarters unit! (And no wonder why FBIHQ is mired in mediocrity!—that maybe a little strong, but it would definitely be fair to say that there is unevenness in competency among Headquarters personnel.) (It's also a well known fact that the FBI Agents Association has complained for years about the disincentives facing those entering the FBI management career path which results in very few of the FBI's best and brightest choosing to go into management. Instead the ranks of FBI management are filled with many who were failures as street agents. Along these lines, let me ask the question, why has it suddenly become necessary for the Director to "handpick" the FBI management?) It's quite conceivable that many of the HQ personnel who so vigorously disputed Moussaoui's ability/predisposition to fly a plane into a building were simply unaware of all the various incidents and reports worldwide of Al Qaeda terrorists attempting or plotting to do so.

*By the way, just in the event you did not know, let me furnish you the Webster's definition of careerism—"the policy or practice of advancing one's career often at the cost of one's integrity." Maybe that sums up the whole problem!

5) For example, at one point, the Supervisory Special Agent at FBIHQ posited that the French information could be worthless because it only identified Zacarias Moussaoui by name and he, the SSA, didn't know how many people by that name existed in France. A Minneapolis agent attempted to surmount that problem by quickly phoning the FBI's legal Attache (Legat) in Paris, France, so that a check could be made of the French telephone directories. Although the Legat in France did not have access to all of the French telephone directories, he was able to quickly ascertain that there was only one listed in the Paris directory. It is not known if this sufficiently answered the question, for the SSA continued to find new reasons to stall.

6) Another factor that cannot be underestimated as to the HQ Supervisor's apparent reluctance to do anything was/is the ever present risk of being "written up" for an Intelligence Oversight Board (IOB) "error." In the year(s) preceding the September 11th acts of terrorism, numerous alleged IOB violations on the part of FBI personnel had to be submitted to the FBI's Office of Professional Responsibility (OPR) as well as the IOB. I believe the chilling effect upon all levels of FBI agents assigned to intelligence matters and their manager hampered us from aggressive investigation of terrorists. Since one generally only runs the risk of IOB violations when one does something, the safer course is to do nothing. Ironically, in this case, a potentially huge IOB violation arguably occurred due to FBIHQ's failure to act, that is, FBIHQ's failure to inform the Department of Justice Criminal Division of Moussaoui's potential criminal violations (which, as I've already said, were quickly identified in Minneapolis as violations of Title 18 United States Code Section 2332b [Acts of terrorism transcending national boundaries] and Section 32 [Destruction of aircraft or aircraft facilities]). This failure would seem to run clearly afoul of the Attorney General directive contained in the "1995 Procedures for Contacts Between the FBI and the Criminal Division Concerning Foreign Intelligence and Foreign Counterintelligence Investigations" which mandatorily require the FBI to notify the Criminal Division when "facts or circumstances are developed" in an FI or FCI investigation "that reasonably indicate that a significant federal crime has been, is being, or may be committed." I believe that Minneapolis agents actually brought this point to FBIHQ's attention on August 22, 2001, but HQ personnel apparently ignored the directive, ostensibly due to their opinion of the lack of probable cause. But the issue of whether HQ personnel deliberately undercut the probable cause can be sidestepped at this point because the Directive does not require probable cause. It requires only a "reasonable indication" which is defined as "substantially lower than probable cause." Given that the Minneapolis Division had accumulated far more than "a mere hunch" (which the directive would deem as insufficient), the information ought to have, at least, been passed on to the "Core Group" created to assess whether the information needed to be further disseminated to the Criminal Division. However, (and I don't know for sure), but to date, I have never heard that any potential violation of this directive has been submitted to the IOB or to the FBI's OPR. It should also be noted that when making determinations of whether items need to be submitted to the IOB, it is my understanding that NSLU normally used/uses a broad approach, erring, when in doubt, on the side of submitting potential violations.

7) For starters, if prevention rather than prosecution is to be our new main goal, (an objective I totally agree with), we need more guidance on when we can apply the Quarles "public safety" exception to Miranda's 5 Amendment requirements. We were prevented from even attempting to question Moussaoui on the day of the attacks when, in theory, he could have possessed further information about other co-conspirators. (Apparently no government attorney believes there is a "public safety" exception in a situation like this?!)

Case Study

You are a non-sworn manager of a large metropolitan police department with several thousand sworn and non-sworn members. It is 6:30 a.m. on a Friday morning. This weekend will be the end of your vacation, and on Monday, you will assume a new position as the chief management analyst in command of the department's Records and Identification (R & I) Division. This is a huge jump in responsibility since R & I is charged with supplying reports to all police divisions and the general public. R & I division consists of over three hundred employees. All records, whether for investigation, court, or the public are kept in R & I's file rooms.

Before you went on vacation, you had spoken with the former commanding officer of R & I, Bill Findley, who was retiring. Findley was proud of R & I; he told you how professional the clerks were and how the division was nearing completion of a new records management system. This would make the police department one of the first local law enforcement agencies to employ this technology. Findley also pointed out that almost all of the records clerks had advanced training in record keeping and most had received numerous commendations for their work. He was pleased to tell you that according to a recent audit he conducted, the error rate was way below last year despite a 20% increase in the workload.

During your career, you had heard differing views. Martin Santiago, a detective in Bunco Forgery Division, had told you that most detectives disliked going to R & I for their reports. "It's always a hassle," he said. "You know that." You had heard similar complaints from other officers and from the general public. Last week, in fact, you read about a pending lawsuit in the local newspaper. The suit charges that R & I is not releasing required information in accordance with the Attorney General's guidelines and the Freedom of Information Act.

As you jogged out your front door to start your morning run, you noticed that your brand new Corvette was not parked in the driveway. A quick check of the whole street confirmed your worst suspicion; your car was stolen!

You called the police department and reported the theft of your car. The police officer took down your information, checked the computer, and informed you that your car had already been recovered and impounded in Southwest Division. You telephoned Southwest Auto Detectives, hoping to find out what condition your car was in. The auto clerk at Southwest was helpful, but she said that the copy machine in their records unit was broken, so she didn't have a copy of your vehicle recovery report. Original reports had, however, been mailed downtown to R & I.

The auto clerk suggested that you either call the impound lot to get an informal assessment from an employee there, or call R & I to get a copy of the Recovered Vehicle Report. Since you really didn't want to encourage any tow yard employees to rifle through your new "Vette" and you would need a copy of the reports for your insurance company anyway, you decided to call R & I.

You telephoned the number, hoping you could get a clerk to fax you both the stolen vehicle report and the recovered vehicle report. The clerk answered quickly but stated that she could not release that information over the telephone. She recited the procedure to mail in a written request for reports, saying that a check for \$13.00 per report must be enclosed. You asked how long it would take to get the reports by mail. The clerk responded, "We're

running at about thirty days now, ma'am." You thanked her and hung up without identifying yourself.

Well, you still didn't know how much repair your car would need. Your mind raced through the possibilities of repair bills, impound fees, and rental car charges. One thing was for sure, you wanted to get everything started before your vacation was over. Besides, what if thirty days was too late to make an insurance claim? You decided to go get the reports in person.

You took the bus downtown to R & I. You got in line behind several other people waiting to pick up their reports. You all stood in silence and patiently waited your turn. After about fifteen minutes, you arrived in front of a clerk.

"Yes?" she asked. The clerk wasn't really rude, but she sure wasn't very friendly. You immediately realized that she did not recognize you as her new commanding officer. As she filled out a form, she pointed to the wall and motioned for you to read the sign. The sign read, "A failure to plan, on your part, does not constitute an emergency on mine."

You didn't understand what that sign had to do with anything. Then, you realized that the clerk was referring to the sign immediately below, which said, "Reports must be requested by mail, unless exceptional circumstances exist. Please remember to enclose your check for \$13.00 per report."

"Since you're here," the clerk continued, "you must have some special problem. What is it?" In the face of this, you decided to conduct a little audit of customer service. Without revealing your occupation, you humbly requested a copy of your stolen and recovered vehicle reports, saying that your insurance company needed the information as soon as possible. After staring at you for a few seconds, the clerk asked for your identification and proof of ownership. You handed over your driver license but meekly explained that the registration was in your car's glove box. She shook her head and directed you to fill out a request slip. The clerk initialed the slip and told you to follow the yellow line painted on the floor.

The yellow line crisscrossed three other colored lines, and you met three other lost souls dutifully following them. You couldn't help but feel like a rat in a maze. Finally, you arrived at a sign that read, "Crime and Miscellaneous Reports Section."

There, you stood in front of another clerk who was busy entering data into a computer. On the wall behind her desk, you noticed several certificates for technical training and commendations for outstanding efficiency. Without moving her eyes from the screen, this clerk motioned to the corner of her desk and said, "Sign the ledger, take a seat and wait for your name to be called."

"But there's no one else waiting," you responded.

The clerk glanced up at you and asked, "Are you aware of our policy for issuing vehicle reports? Haven't you mailed in a request?"

You quickly retold your story and mentioned the exception to policy you had been granted. You explained that the Southwest auto clerk had told you that your car was recovered and the paperwork was sent to R & I.

"Well, it's not here yet. The reports from last night probably haven't even arrived. Even if they have, I'm sure they haven't been filed yet. If you really have a good reason, you might be able to convince my principal clerk to look through the morning mail." She returned to her typing and gestured with her head toward the Principal Clerk's office.

You trod over to the Principal's office, feeling like you were in grade school all over again. Once again you retold your story. This time you mentioned that it was your last day on vacation and that you were looking forward to taking command of R & I Division.

"Well," the principal clerk, Jenny Rogers, said, "We've got some of the best records people in the business and for once we have enough of them. We finally got a system where we can concentrate on our duties without getting bogged down by people wanting unnecessary reports. By the way, here's yours." She handed you both of your coveted documents.

"Unnecessary reports?" you queried. Jenny elaborated how, six months ago, the division had an influx of detectives wanting all kinds of reports. They fixed this by requiring the detectives' commanding officer to initial all report requests.

"Well, as you can imagine this worked great. It cut down on the requests dramatically. We've followed up that great idea by implementing a system that one of the clerks came up with. Now, if the reception clerk feels that a report being requested is really not needed, she marks 'NN' on the request form. That way, everyone in the division knows to 'put the person off' until we have some spare time to handle low-priority items. We use this a lot with requests from outside the department—you know lawyers, reporters, and the like. This really saves us a lot of hassle."

You mentioned the rumors you have heard about detectives not liking the service they receive from R & I. "Yeah, I've heard that too. But if you check it out, you'll find that it's the same old story. Everyone who works here can tell you how the detectives never follow our procedures and how they are totally insensitive to our problems. Those sworn guys get upset if civilians don't jump every time they say 'Boo'." As you walk out the door toward the bus stop, reports in hand, you begin to think about what you will do Monday morning.

I. *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. *Analyze* the situation using Organizational Culture concepts.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

What messages are being communicated by the organizational culture that may influence individual or group behavior?

What are the cultural artifacts of this division?

What values or intrinsic beliefs do members share that sets them apart from other people or groups? Do they view outside people as inherently good or bad? (Theory X or Y)

Do they dominate, submit to, or coexist equally with their environment?

Are they proactive, reactive, or non-responsive to changes in their environment?

III. **Explain** how the underlying assumptions identified in your analysis influences people to either support, or work against the organizational mission.

What relevant experiences do members have in common that people in the external environment do not?

What is the primary mission (technical core) of this division?

What positive norms does this culture contain?

IV. **Select** an appropriate theoretical leader strategy(ies) that might be used to influence the organizational culture to enhance the accomplishment of the organization's mission.

Which Embedding Strategies and Reinforcing Mechanisms should the leader use to shape this organizational culture?

LESSON 29: LEADING CHANGE

Introduction

This lesson consists of:

1. Leading Change
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 101-134.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**
 - II. **Analyze** the situation in terms of leading change.
 - A. **Describe** the type of change.
 - B. **Identify** which components of the Organizational System are undergoing change.
 - C. **Identify** any sources of resistance to change.
 - D. **Identify** any leader strategies being used to overcome resistance to change.
 - III. **Explain** any connection between the resistance to change and any problems the organization is experiencing adapting to the intended change(s).
 - IV. **Select** an appropriate theoretical leader strategy(ies) to overcome the sources of resistance to change.
 - V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.
3. **Complete a Student Journal entry** for Leading Change.

Think of any situation in your professional life with your present organization where you were in a leadership position, a change was made, and your employees expressed or demonstrated strong resistance.

Or

Think of any situation in your professional life with your present organization where you were not in a leadership position, a change was made, and you and your peers expressed or demonstrated strong resistance.

What component of the organization under went change? What type of change was implemented? What were the sources of resistance? Were any leader strategies used to overcome resistance to the proposed change? What problems did the unit, division, or department experience because of the resistance to change? Based on this lesson, what appropriate leader strategy, or set of strategies, could have or should have been applied to overcome the identified sources of resistance?

Leading Change

VIGNETTE

The sudden change in leadership sent rumors flying throughout the organization. Some said the old boss was fired; others said he left because of health problems. The simultaneous appointment of a former lower-level supervisor to the leadership position, however, gave credence to the rumors of a firing. “The change occurred too smoothly to be a chance event,” someone said.

The news of the change in leadership was particularly distressing to several sub-unit leaders within the organization. They knew that the new leader had less technical training and experience than they did, and further, there had been previous personality clashes among the sub-unit leaders when they were all peers.

“It’s kind of a shock to find out we weren’t even considered,” said one.

“Yeah,” said another, “the first I found out was when I read his memo assuming leadership. At least they could have warned us!”

The memo also ominously hinted that there would be more changes coming during the next few weeks. This left the sub-unit leaders feeling particularly uncomfortable about their own roles under the new boss. What would the new goals be? How could they overcome previous interpersonal differences? How would the expected changes impact their own career and life plans? How would their own employees react to these changes?

It was difficult to get any useful work done in the organization for the next several days as everyone waited for the other shoe to drop.

As suggested in the opening vignette, seemingly simple changes in an organization can have devastating effects on organizational life and performance. Unfortunately, because of differing perspectives and the constraints of time, organizational leaders are frequently unaware of or are unable to adequately control the consequences of changes. Even when carefully planned, it is not unusual for a change in one part of an organization to affect other parts of the organization in ways that would be difficult for the leader to anticipate. And yet, change has become an inevitable aspect of organizational life. Change in technology, social climate, personal mobility, social values, and resource availability are occurring at an unprecedented rate with no sign that this rate of change will lessen. These two factors—the lack of leader awareness of the effects of organizational change and the increasing rate of change—make the management of change a critically important subject for the organizational leader. In fact, as we will see later, a major factor in an organization’s survivability may be the leader’s ability to effectively steer the organization through the inevitable changes that impact it.

Change

We know from Lesson 27 that organizations are dependent upon the environment for inputs and accountable to the environment for outputs. Therefore, as the environment changes, the

organization is forced to change in order to survive. Moreover, we know that organizations are systems of interrelated, interdependent components. A change in one component of the organizational system necessitates change within the other components. Because of the links between organizational components and the environment, very little is static within an organization. In this lesson we will study several types of change in organizations, and how the leader's anticipation of and/or reaction to that change affects its outputs.

Of particular interest to leaders in organizations is the phenomenon of resistance to change. In this lesson, we build upon your understanding of individual motivation and group process to examine why people resist change. We will also propose several strategies for overcoming such resistance. Resistance to change might become evident to you in a variety of ways. It impacts individual motivation, group development and process, and organizational performance. The key to limiting this resistance is to anticipate it and use strategies proactively to lessen its impact on organizational performance.

Change and Organizational Adaptation

Generally, the term “change” means any alteration of the status quo. For organizational leadership purposes, though, the definition must be more precise. *Change* is any process imposed on an organization that requires that organization to respond. It's a stimulus to the organization—a call for action. And how the leader responds to that call is known as *adaptation*.

The distinction between change and adaptation is an important one. Change is something that happens to an organization; adaptation is something initiated by the organizational leader in response to change. While the source of change may be external or internal to the organization, the source of adaptation is always internal. With this relationship in mind, let's look at the nature of change and the ways organizations typically adapt to it.

The Nature of Change

In the Model of Organizational Leadership, we see that each element of the model is a potential source of change for the leader. These sources can be grouped according to whether or not they are external or internal in relation to the organization. An example of an internal potential source of change is a senior leader who wants to change a procedure. That leader's peers, in adjusting their own tasks to the new procedure, may also stimulate change from within.

Internally initiated change may come from the changing needs or demands of employees, functional groups, or the significant others of employees (family members, colleagues, etc.). Moreover, internal change can come from the organizational leader in an effort to achieve some desired future state. If the leader is dissatisfied with an employee's performance, for example, there's a high probability that leader-initiated change is on the horizon.

Then there are the many elements of the external environment that impose change on organizations. Think of new and innovative technologies, as one example; new ways of communicating, such as e-mail and faxing, as another; and population growth, as still another. Alvin Toffler, the author of the book *Future Shock*, noted that “change is

avalanching down upon our heads, and most people are utterly unprepared to cope with it.”⁶¹ This premise highlights the potential importance of external change for the leader.

The consequences of change imposed on an organization vary widely. On the one hand, consequences may be very positive and improve effectiveness. On the other hand, consequences may be negative and have a debilitating effect. To some degree, these consequences are determined by the leader’s anticipation of change. The greater the degree of anticipation, the greater the probability the change will be favorable for the leader. The source of change and the degree of anticipation represent two primary dimensions of change. Let’s use some real-world examples to illustrate the effect of these dimensions on organizational outcomes.

One example of unanticipated external change is the Japanese attack on Pearl Harbor on December 7, 1941. The source of this change was clearly external to the United States, and the change happened with little warning to America’s leaders. In this instance, the event had a major impact on most organizations in this country—it kicked off our entry into World War II.

In contrast, an example of anticipated external change is the government’s Equal Employment Opportunity program. The government serves as the external stimulus, and the bureaucratic process gives organizations time to adapt by preparing affirmative action plans. Another example of this category of change was the decision to admit women to the policing profession. It was long enough in the making to allow leaders time to develop integration plans. The consequences of both of these externally imposed social changes was potentially traumatic. But they became manageable through anticipation of the event.

Internally generated change that is unanticipated may be seen in a wildcat strike of personnel in industry or in a refusal by officers to engage in a tactical operation. Events like these—which are sprung on leaders from internal sources—can have a devastating effect on organizations.

The final category of change—internally generated change that the leader anticipates—is represented by such things as a change of leadership or the implementation of a new structure to improve efficiency. Although these events may cause serious disruption in an organization if handled improperly, they’re largely under the control of the leader.

To summarize, the degree to which change is anticipated plays a major role in the consequences of change. Pre-knowledge gives the leader time to exercise some control, thereby increasing the chance for favorable outcomes. Of course, anticipated events can sometimes lead to worse outcomes for organizational life than those that were unanticipated. The point here, though, is that anticipation allows for constructive planning and action.

Organizational Adaptation to Change

A leader’s anticipation of change also determines the response mode. If the leader is unable or fails to anticipate change, the organization will probably respond in a reactive mode. This mode is generally a short-term, crisis style of adaptation to change. In contrast, if the leader anticipates change, his or her organization has a chance to respond in a proactive mode. Being proactive means that the organization can make changes or adjustments in order to meet future internal or external conditions before they actually happen. By being proactive,

⁶¹ Toffler, A., *Future Shock* (New York: Random House, 1970). Reprinted by permission of Alfred A. Knopf, Inc.

the leader can preempt the debilitating effects of change with an adaptation that's more under his or her control. It's desirable, obviously, for an organizational leader to move from a reactive to a proactive mode of adaptation—it leads to enhanced organizational effectiveness.⁶²

Government organizations that fail to adapt to economic trends; religious institutions that fail to adapt to or at least consider the mores of the time; and police organizations that disregard improved weapons technology or tactics are all groups that may become less effective or even cease to exist. In each case, the proactive-reactive dimension is evident. Why do some organizations appear to adapt to impending change, yet others seem to ignore the obvious? Several theorists suggest that successful organizations adapt to change through a process of learning from themselves—a self-correcting or cybernetic system. This adaptive system is really an organizational problem-solving process.⁶³ The adaptive-coping cycle, as this has been called, has seven stages of activity through which an organization adapts to change:⁶⁴

1. *Sensing.* The process of acquiring and interpreting data about external and internal environments.
2. *Communicating Information.* The process of transmitting interpreted data (information) to those parts of the organization that can act on it.
3. *Decision Making.* The process of making decisions about actions to be taken as a result of sensed information.
4. *Communicating Instructions.* The process of transmitting decisions and decision-related orders and instructions to those parts of the organization that must implement them.
5. *Stabilizing.* The process of taking actions to maintain internal stability and integration that might otherwise be disrupted due to the actions taken to cope with changes in the environments.
6. *Coping Actions.* The process of executing actions against an environment (external or internal) as a result of an organizational decision.
7. *Feedback.* The process of determining the results of an action through further sensing of the external and internal environments.

As this cycle suggests, continued success or failure of an organization depends on the organization's ability to adapt to its changing environment.

Resistance to Organizational Adaptation

A phenomenon that sometimes accompanies organizational adaptation is resistance from individual members or groups. Before we get to coping strategies, it's crucial to understand this human response to the alteration of the status quo. Let's examine why there's individual

⁶² Harvey, D.F. and D.R. Brown, *An Experiential Approach to Organizational Development* (Englewood Cliffs, NJ: Prentice-Hall, 1982), p. 37.

⁶³ Ivancevich, J.M., A.S. Szilagyi, Jr., and M.J. Wallace, Jr., *Organizational Behavior and Performance* (Santa Monica, Cal.: Goodyear, 1977), p. 507.

⁶⁴ Olmstead, J.A., H.E. Christensen and L.L. Lackey, *Components of Organizational Competence Test of a Conceptual Framework*, KB 26-4 (Fort Ord, California, U.S. Army Organizational Effectiveness Training Center, Dec. 1977), p. 16.

and collective resistance to organizational adaptation and offer some ways for the leader to overcome it.

Individual Resistance to Adaptation

Individual resistance often occurs because organizational adaptation is seen as threatening to a comfortable routine. Most members of organizations establish fairly regular routines that guide their life at work. They report to work at a certain time; perform their tasks according to established procedure; are familiar with their responsibilities; and have a pattern of relationships with leaders, subordinates, and peers. More or less, they know what to expect on a day-to-day basis. So when the status quo is changed, they may resist simply because the change introduces potential unknowns to their work life. This may lead to speculation, which can conjure up uncertainties that aren't intended by the adaptation.⁶⁵

An integral part of speculation is the fear of losing something of value as a result of the adaptation.⁶⁶ Depending on the nature of the adaptation, a common concern among people is the fear of losing economic security.⁶⁷ They may worry about losing seniority, wages, or their jobs. For those who have been with an organization for a long time, resistance caused by fear will probably be immediate and strong.

People also fear losing power and influence within their organization.⁶⁸ The simple change of pooling secretarial resources, for instance, may lead to a loss of power and influence that existed when the boss's appointment book was controlled by one person. Restructuring an organization's supply system may be seen as a loss of control over vital resources. Resistance because of perceived loss of control is particularly strong among sub-unit leaders of the organization. Power and influence usually accrue over an extended period of time, and they're not easily surrendered.

And it's the same situation with fearing the loss of status within the organization.⁶⁹ Since it's not natural for people to stand by and let their status decrease, the leader can expect considerable resistance, particularly when fears are widespread. Research shows that the more hierarchical the organizational structure is, the greater the chances of resistance to adaptation.⁷⁰

Adaptation may also be resisted because it implies that the old way of working was inadequate⁷¹ and this may be a threat to personal esteem. Although concerns of this kind may not last, it's not unusual for people to feel that adaptation suggests they're not working at their optimum level. Threats to personal esteem are often resisted in an almost reflexive manner.

Another personal reaction to a proposed adaptation is the suspicion of being exploited.⁷² This is particularly true when the adaptation is couched in terms that suggest a

⁶⁵ Ivancevich, J.M., A.S. Szilagyi, Jr., and M.J. Wallace, Jr., *Organizational Behavior and Performance* (Santa Monica, Cal.: Goodyear, 1977), p. 507.

⁶⁶ Kotter, J.P. and Leonard A. Schlesinger, "Choosing Strategies for Change," *Harvard Business Review*, 57 (March-April 1979), p. 107.

⁶⁷ Ivancevich, Szilagyi and Wallace, *op. cit.*, p. 507.

⁶⁸ Zaltman, G. and R. Duncan, *Strategies for Planned Change* (New York: John Wiley & Sons, 1977), p. 75.

⁶⁹ *Ibid.*, p. 77.

⁷⁰ *Ibid.*, p. 77.

⁷¹ Schein, *op. cit.*, p. 122.

⁷² Blake, R.R. and J.S. Mouton, *Building A Dynamic Corporation Through Grid Organization Development* (Reading, Mass.: Addison-Wesley, 1969), p. 59.

“striving for organizational excellence.”⁷³ This kind of approach may suggest to members that they’re not really important to the organization.

Yet another cause of individual resistance is the fear that people won’t be able to develop the new skills and behavior that’s now required of them.⁷⁴ Everyone is limited in his or her ability to some degree. Some people can quickly learn new skills and readily adapt to a changing situation, while others may not be as quick to learn. The latter group may resist the change, even when it’s to their benefit.

Personal resistance to adaptation may also be the result of the absence of a perceived need.⁷⁵ People may disagree with the need for adaptation because they assess the situation from a different perspective than the leader does.

Finally, individuals may resist adaptation because of past experiences. If their past experience with change led to unanticipated negative consequences, the leader can be sure that members won’t readily accept more attempts to alter their status quo.⁷⁶ It boils down to this--after being burned by the stove, you learn to stay clear of it.

When employees are uncomfortable or displeased with attempts to adapt in their organization, they’re likely to not support the change. They may show their resistance by a change in mood, a slowdown in work pace, or a decrease in the quality of their work. In more extreme instances, individuals might block progress or even leave the organization. Their message is clear: they’re dissatisfied with the changing status quo, and they want their leader to know it.

The degree of resistance may vary from one situation to another, depending on how much members value the status quo. For example, if members are told that because of plans to expand, they must move from their pleasant office space to one that’s less pleasant, you’ll probably see some mild resistance. If they sense, however, that there will be a loss of jobs due to new technology, there will likely be a lot more resistance, particularly if jobs are hard to find. In essence, the more central a need is to our way of life, the greater will be our resistance to any proposed incompatible adaptation.⁷⁷

Collective Resistance to Adaptation

Group Resistance. A lot of what has been said about individual resistance can also apply to groups. Groups may collectively fear economic loss, loss of power and influence, and all the other fears mentioned. But there are two special reasons groups resist adaptation. One reason involves the human need to belong (one of the reasons people join groups); the second reason involves a threat to established group norms.

As noted in Area II (The Group System), the group affords people a chance to belong. In addition to providing psychological comfort, the group also offers a person predictable patterns of communication and understanding. These patterns help to make work more enjoyable and permit friendships to blossom.⁷⁸ Essentially, by belonging to a group, organizational members gain predictability in their lives. So it’s understandable that any

⁷³ *Ibid.*, p. 59.

⁷⁴ Kotter and Schlesinger, *op. cit.*, p. 108.

⁷⁵ *Ibid.*, p. 108.

⁷⁶ G. Zaltman and R. Duncan, *op. cit.*, p. 75.

⁷⁷ Rockeach, M., *Beliefs, Attitudes and Values* (San Francisco: Jossey Bass, 1968).

⁷⁸ Ivancevich, Szilagyi and Wallace, *op. cit.*, p. 506.

change that threatens to alter the integrity of the group may be resisted amid cries of “they’re breaking up my old gang.”

Groups also have norms that serve as informal rules to guide and influence the behavior of members. The more cohesive the group, the greater their influence over group members. When adaptation is seen as threatening the group’s norms, group resistance will usually result: the more cohesive the group, the greater the resistance.⁷⁹

Organization-Wide Resistance. Resistance to adaptation on a large scale may be attributed to one of three factors: time, tradition, and type of organization. Adaptation often requires certain adjustments such as learning new skills or procedures. These adjustments take time, which is a precious organizational commodity. An organization in the middle of pursuing an important goal may truly resist any adaptations that will get in the way of reaching that goal. Generally, the more time a proposed adaptation will take, the stronger the resistance to it will be.

The comment “But we’ve always done it this way!” is a sure sign that people feel an intended change tampers with tradition. Tradition is defined as “a mode of thought or behavior followed by a people continuously from generation to generation.”⁸⁰ Implicit in this definition is the notion of maintaining the status quo. In this case, tradition and resistance are synonymous. And the older or more traditional an organizational activity, the more resistance there will be. Long-standing organizations such as the police and institutions of higher learning are among those most tradition-bound. Leaders of these places tend to come and go. Some spend a lot of energy trying to bring about change. But because these organizations are so steeped in tradition, changes are generally strongly resisted and occur very slowly, if at all.

In addition, the structure of some organizations may either ease or resist adaptation. Some organizational designs are very open to adaptation. Bureaucracies, however, are often highly inflexible and by their very nature resistant to adaptation. Bureaucracies are characterized by the division of labor that relies on specialized experts; they’re often mechanistic; and they operate under sets of rules and regulations that seem to ensure their rigidity.⁸¹

That individuals, groups, and organizations resist adaptation is a predictable phenomenon. It’s therefore in the leader’s best interest to understand how resistance is likely to show itself and to be prepared to take steps to try and minimize it. Organizational adaptation without such anticipation may be positively doomed. Knowing this, let’s get to some actions a leader can take to minimize resistance to change.

Overcoming Resistance to Organizational Adaptation

How we communicate the impending adaptation may make all the difference between employees’ resistance or support. Of course, if the leader can correctly anticipate the source of any resistance, the task of communicating it is easier. It’s usually hard, however, to anticipate a specific source of resistance. More often, if one source of resistance is present, there’s likely to be others. Regardless of the source, though, there are several actions a leader can take to minimize resistance.⁸²

⁷⁹ *Ibid.*, p. 508.

⁸⁰ *The American Heritage Dictionary*, ed. William Morris (Boston: Houghton Mifflin, 1976), p. 1360.

⁸¹ Blau, P.M. and M.W. Meyer, *Bureaucracy in Modern Society* (New York: Random House, 1971), p. 34.

⁸² Huse, E.E., *Organization Development and Change* (New York: West, 1975), pp. 113-115.

First, the leader can demonstrate that there's a real need for adaptation—one from which followers can see some personal benefit. This can sometimes be accomplished simply by giving out information. Feedback on performance trends, records of equipment downtime, or even absentee rates can often point to the need for adaptation. The more relevant and meaningful the information is, the greater the likelihood that the adaptation will be supported. Inadequate or inaccurate information, on the other hand, sets the stage for a lot of individual and collective resistance.

Second, the leader can deal with resistance by ensuring that those who may need more training or skill development know that they'll get it.⁸³ Training may give employees the confidence they'll need to make the adjustments required by the adaptation. Equally important, the leader may be sending a message to employees that they need not worry about job security—a primary reason for resistance.

Third, the leader can allow employees the opportunity to participate in the adaptation process so they'll develop a sense of ownership in the outcome. When people participate, they're generally less inclined to resist their own efforts. There are varying degrees of participation. Total participation involves all members of the organization and seems to be most effective. However, this may not always be feasible in large organizations. The next viable alternative calls for representatives of the group to work with the leader on developing and executing the adaptation. There are circumstances, of course, when time or other factors limit participation at any level. Generally speaking, though, the greater the amount of participation by those affected by the adaptation, the less likely individuals will resist it. The reverse is also generally true.

Fourth, opposition to adaptation can also be reduced if the organizational leaders who are responsible for the adaptation belong to the organization affected. That is, adaptation initiated from within an organization is much less threatening than adaptation that's perceived as imposed from outside the organization.

Fifth and finally—and usually as a last resort—leaders may have to take a more abrupt approach. Where time is crucial and the leader has considerable power, it may be appropriate to deal with resistance to adaptation by coercion.⁸⁴ Essentially, the followers are directly or indirectly told that they'll comply with the adaptation or suffer the consequences, which may include transfer or disciplinary action. This, of course, is a risky approach—resistance may become intense. However, this approach may be the only one that brings about the desired results.

When resistance is inevitable, the leader may find it effective to initiate the adaptive change in more tolerable increments. By using a series of small adaptations, a larger change may eventually be realized without serious resistance. This process requires considerable planning and finesse.

It's important to keep in mind that when all is said and done, resistance may also have some positive effects. It may, for example, be a useful wake-up call to the leader—one that makes the leader reassess the nature of the adaptation or scrap it altogether. Although adaptation may be warranted, the particular means of adapting may not be appropriate, particularly if it's unnecessarily harmful to individuals or groups.⁸⁵ Individual and group resistance is not always unjustified.

⁸³ *Ibid.*, p. 110.

⁸⁴ *Ibid.*, p. 111.

⁸⁵ Zaltman and Duncan, *op. cit.*, p. 62.

Major Change

In this reading we will focus on types of change and how leaders can reduce resistance to it.

The first step toward analyzing change within an organization is to identify which components of the organization system are changing and what is causing them to change. As stated previously, changes to components within an organization normally take place in response to changes in the external environment. However, changes to components within an organization may also take place in response to changes in other components internal to the organization. Knowing which components are changing and what is causing them to change will allow the leader to classify the type of organizational change.

Nadler and Tushman (1989) note that change can normally be classified along two dimensions.⁸⁶ The first dimension is the scope of the change, which deals with whether the entire organization is changing, or more specifically, a particular system is changing. Changes to individual components of the organization are called *incremental* changes, while changes that address the entire organization are referred to as *major* changes. An example of an incremental change would be a change to a reward system. Examples of major changes include changes in the purpose of the organization, shifts of power, or alterations in culture.

The second dimension of organizational change is the anticipation of change. If a change is clearly in response to key external events, then it is referred to as a *reactive* change. On the other hand, if a change is initiated in the anticipation of external events that may occur, then it is referred to as *anticipatory* change. You will recall that earlier we learned that leaders could use several coping strategies to reduce environmental uncertainty. Several of these same coping strategies (buffering, smoothing out, and adaptation) allow the leader to anticipate external events that require the organization to change. The relationships between these dimensions yield four types of change, as illustrated in Figure 53.

Figure 53.

⁸⁶ Nadler, David A. and Tushman, Michael L. (1989) Organizational Frame Bending: Principles for Managing Reorientation. *The Academy of Management Executive* 3: pp. 194-204. Dr. Tushman is a professor at the Graduate School of Business, Columbia University, and Mr. Nadler is part of the Delta Consulting Group, New York. These ideas are based upon observations of approximately 25 organizations, which they had been working with over a five year period, specifically with senior levels of leadership in planning and implementing significant, multiyear strategic-level changes. Nadler and Tushman have written numerous works together, including "A Diagnostic Model for Organizational Behavior" in E.E. Lawler and L.W. Porter (Eds.) *Perspective on Behavior in Organizations*, New York: McGraw-Hill, 1977; "A Model for Organizational Diagnosis" *Organizational Dynamics*, Autumn 1980; *Strategic Organizational Design*, Glenview, IL: Scott, Foresman, 1988; *Beyond the Charismatic Leader: Leadership and Organizational Change*, New York: Delta Consulting Group, 1987; *Managing Strategic Organizational Change*, New York: Delta Consulting Group, 1986.

	INCREMENTAL	MAJOR
ANTICIPATORY	TUNING	REORIENTATION
REACTIVE	ADAPTATION	RE-CREATION

1. *Tuning.* Tuning is an incremental change made in anticipation of future events. It attempts to increase efficiency but does not occur in response to any immediate problem. For instance, an organization might consider changing its Employee Evaluation Report (EER). In anticipation of that change, the leadership might consider changing the Field Training Officer Performance Report in order to align it with the proposed new EER.

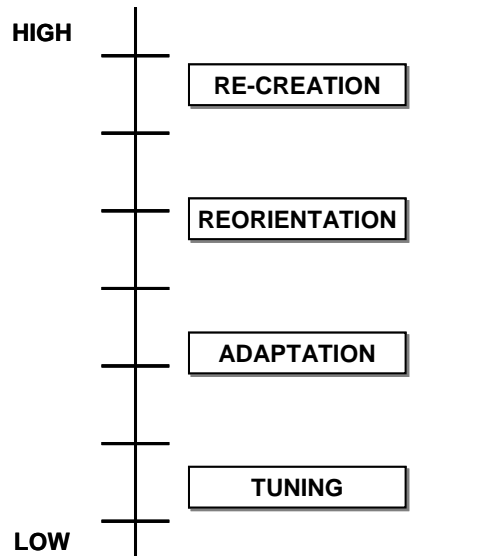
2. *Adaptation.* Adaptation is also an incremental change, but it is made in response to external events. Some changes in the social, economic, political, or technological environment require a response from an organization but not a response that requires fundamental change throughout the organization. For example, in the 1980's the proliferation of computers was a significant change in the technological environment. In order to adapt, some police agencies began to issue each trainee computers.

3. *Reorientation.* Reorientation is a major response in anticipation of external events that may ultimately require change. These changes are made with the luxury of time but do require fundamental redirection of the organization. For example, let's say that the leadership saw changes in the environment (community-oriented policing) that would require its officers to possess new or different knowledge, skills, and abilities in order to survive in that environment. In anticipation of those requirements, the leadership would then make changes in the components of the organizational system as well as the culture of the organization.

4. *Re-creation.* Re-creation is a major change that is necessitated by external events. Because such events threaten the very existence of the organization, re-creation requires a radical departure from the past and could include shifts in senior leadership, values, strategy, culture, etc. For instance, if the government dictated that due to budget cutbacks regional academies would be the sole service provider for all police training, the leadership of police academies would have to re-create their organizational components and culture in order to react successfully to this major change.

Each of these types of change varies in their relative intensity, as indicated in the chart below (Figure 54).

Figure 54.



The relative intensity of the change is related to the severity of the change, and is evidenced by the degree of shock, trauma, or discontinuity throughout the organization. Major changes are obviously more intense than incremental changes because they require alteration of the organization’s basic processes. Reactive changes are more intense than anticipatory changes because of the necessity to pack much activity into a short amount of time without the opportunity to prepare people to deal with the trauma, and because there is less room for error. There is also a direct relationship between the relative intensity of the change, and the level of resistance to that change. One of Peter Senge’s **Laws of the Fifth Discipline** is that the harder you push, the harder the system pushes back.⁸⁷ It is also true that the greater the intensity of organizational change, the greater the resistance to that change.

Because major organizational change is met with such great resistance, leaders must understand how to implement change in a way that will reduce the resistance to it. In order to successfully implement major organizational change, the leader must put together an integrated, comprehensive, detailed, theoretically sound, and realistic plan well before it takes place. Kotter (1996) defines an eight-step process for implementing major change that does just that.⁸⁸

1. *Establish a Sense of Urgency*

⁸⁷ Senge, Peter M. (1990) *The Fifth Discipline: The Art and Practice of the Learning Organization*. New York: Doubleday. Professor Senge is the Director of the Center for Organizational Learning at MIT’s Sloan School of Management. As a founding partner of Innovation Associates, he has worked with thousands of leaders at Ford, Digital, Procter & Gamble, AT&T, Federal Express, Herman Miller, Hanover Insurance, Royal Dutch/Shell, and numerous other major corporations. Additionally, he has worked with the Clinton administration as well as governmental leaders of several foreign countries.

⁸⁸ Kotter, John P. (1996) *Leading Change*. Boston: Harvard Business School Press. Professor Kotter is the Konosuke Matsushita Professor of Leadership at the Harvard Business School. Some of his seminal works include *The New Rules: How to Succeed in Today’s Post-Corporate World*, New York: Free Press 1995; *Corporate Culture and Performance*, coauthored with James L. Haskett, New York: Free Press 1992; *A Force for Change: How Leadership Differs from Management*, New York: Free Press 1990; and “Leading Change: Why Transformation Efforts Fail” *Harvard Business Review*, March-April 1995. Professor Kotter is considered by many to be one of the world’s foremost experts in organizational leadership.

A sense of urgency is critical in order to overcome the inertia of complacency. Sources of organizational complacency include the absence of a major and visible crisis, the presence of too many visible resources, low overall performance standards, organizational structures that focus people on narrow functional goals, internal measurement systems that focus on incorrect performance indexes, a lack of external performance feedback, a culture that reinforces killing the messenger, low candor and low confrontation, denial on the part of workers, and too much “happy talk” from senior leadership. To establish a sense of urgency, leaders must examine the environment and its competitive realities, as well as identify and discuss crises, potential crises, or major opportunities.

2. Create a Guiding Coalition

Focal leaders cannot implement major change all by themselves. It is critical for the focal leader to put together a team of change agents who possess enough legitimate power, expert power, and referent power to direct the effort. The focal leader must develop cohesion amongst this guiding coalition and develop with the team a common goal that is both sensible to the head and appealing to the heart.

3. Develop a Vision and Strategy

In Area III, we learned that change was a condition that lent itself to the effective use of transformational leadership. One of the transformational leader behaviors we discussed was developing and communicating a vision. It takes transformational leadership to implement major change successfully in an organization, so the leader must develop a vision that is imaginable, desirable, feasible, focused, flexible, and communicable. Additionally, the leader must develop strategies for achieving that vision. The goal-setting process discussed in Area I would be a good place to start. Once the leader develops the vision and strategy, the organization can develop the plans to implement them.

4. Communicate the Change Vision

Once the leader creates the vision, it must be effectively communicated to the organization. The most logical and emotional vision is of little use unless it is planted in the hearts and minds of the people that comprise the organization. There are several things that leaders can do in order to effectively communicate the vision, the first of which is to keep it simple. Effective change agents also use metaphors, analogies, and/or examples to communicate the vision; as many different vehicles as they can to communicate the vision, such as big and small meetings, memos, newspapers, as well as formal and informal interaction; and repetition to drive the vision home while ensuring that communication is two-way. Finally, and perhaps most importantly, effective change agents ensure that members of the guiding coalition role model the behavior expected of the people in the organization.

5. Empower Broad-Based Action

Ultimately, for major change to be implemented successfully the people of the organization must buy into the change; it must become part of the organization’s culture. However, in order for that to happen, the people must be empowered to become part of the change. Once the vision has been communicated effectively, leaders must focus on several embedding and reinforcing mechanisms. First, they must align the structural, technological, and psychosocial components of the organization with the vision by changing systems that undermine or act as

obstacles to the change. They must also align the goals and values component with the vision by encouraging risk taking and nontraditional ideas, activities, and actions. Finally, they must confront leaders in the organization who undercut needed change.

6. *Generate Short-Term Wins*

It is critical for the leader to generate short-term wins because they provide the initial momentum necessary for successful change. Additionally, short-term wins provide evidence for the organization that the sacrifices are worth the effort and undermine cynics as well as those who would try to block the needed change. Short-term wins also help to fine tune the vision and strategy and provide the leader with feedback that the change effort is on track. Short-term wins do not happen by themselves. The leader must plan for visible improvements in the outputs of the organization and then create those wins. Leaders at this point must also publicly recognize and reward those who are making the wins possible.

7. *Consolidate Gains and Produce More Change*

Once the organization experiences some short-term wins, the leader must use the momentum to continue to change the components of the organization that are not aligned with the vision or with each other. At this point leaders also focus on hiring, promoting, and developing those people who are implementing and will continue to implement the change vision.

8. *Anchor New Approaches in the Culture*

As you recall from the lesson on organizational culture, the organization's culture is the set of values and beliefs that allow it to survive. These accepted values and beliefs enable the organization to adapt to the external environment and accomplish internal tasks in a manner that has been proven successful in the past. New approaches will become embedded into a culture only after it is evident that they will work and are superior to old methods. Therefore, the leader must work to ensure that people in the organization admit the validity of the new practices. To do this, leaders will have to articulate the connections between the new practices and organizational success. Leaders should also pay particular attention to personnel issues because sometimes the only way to change a culture is to change key people.

Previously we learned that there are different kinds of change. Very large change is often met with much resistance and therefore, requires a well thought-out process for implementation. After an organization expends all of the effort and resources that a major change requires, there is a tendency to relax or let up. Unfortunately, the longer the organization goes without changing again, the more resistance there will be to the next change, and the more resources the organization will have to expend implementing it. Organizations that learn to make continuous, incremental change are much better at meeting the demands of the environment, have much better outputs, and expend fewer resources in doing so than organizations that labor from major change to major change. Therefore, effective organizational leaders work to embed change into the culture of the organization.

This lesson focuses on two approaches to making continuous improvement part of the organization's culture. The first approach is **Total Quality Management (TQM)**. The United States Government Accounting Office defined TQM as "a leadership philosophy that

demands a relentless pursuit of quality and the stamina for continuous improvement in all aspects of operations: product, service, processes, and communications.”

The second approach to making continuous improvement part of the organization’s culture is that of **Learning Organizations**. The concept of Learning Organizations holds that change is learning, and learning is change. Moreover, learning takes place at all levels of analysis for organizations, groups, and individuals. For police organizations to survive in today’s environment, they must continuously be learning and changing accordingly.

Incremental Change

Total Quality Management

TQM is neither a package nor a program. Similarly, the use of the term “management” in no way implies a decreased need for leadership. Rather, TQM is an integrated leadership approach consisting of a set of principles and procedures that maximize the production and delivery of high-quality goods and services in an organization. According to *Leadership for Total Army Quality*, “Quality is never an accident; it is always the result of high intention, sincere effort, intelligent direction and skillful execution; it represents the wise choice of many alternatives” (p. 4). TQM, then, consists of deliberate action-strategies that penetrate all aspects of organizational life.

While the TQM movement has spawned a large number of checklists and techniques, there are several core concepts or tenets that leaders can employ in order to produce high levels of quality. These concepts, serve both as indicators that an organization has embraced TQM and as leader actions. We use them to analyze an organization in terms of TQM; similarly, we select them, as appropriate, and apply them in leader plans to produce the outcomes of TQM. These indicators and leader actions are:

- Clear Definition of Quality Outputs
- Focus on Value Added Activities
- Continuous Improvement
- Empowered Subordinates
- Encouraged Teamwork
- Benchmarking

Clear Definition of Quality Outputs

The first step in any quality initiative is the identification of the organization’s outputs. What do we exist to do? Who are our customers and what do they expect? This is much more than simply a digest of the many activities that an organization engages in. This first step is the clear, focused definition of the goods and services that the organization provides to the customer or the higher organization.

In these definitions, we find the outputs that our leaders expect us to provide so that the larger organization can accomplish its mission. From this we determine the quality standards toward which we focus our training and resource allocation. In the absence of such a procedure and its resulting product, we will surely find our efforts to be unfocused and wasteful.

Focus on Value Added Activities

Organizations engage in activities directed towards producing the defined outputs. These activities constitute the *transformation process* by which inputs are translated into outputs. TQM leaders seek to understand how this process takes place and then endeavor to ensure that each activity provides the greatest value towards producing output.

It is the TQM leader who plays the central role in focusing the organization on value added activities. A *value added activity* is one that directly contributes to the organization's clearly defined quality outputs. Therefore, the TQM leader focuses his or her employees' time, efforts, and resources on those activities that directly lead to the defined outputs. Similarly, the TQM leader constantly seeks ways of increasing the value of those activities the organization is already engaged in.

One example of this would be a focal leader who looks at her training schedule for the next week and asks, "What things on this schedule contribute to our outputs? What things don't?" What does she do about those activities that do not add value? Primarily, she removes them from the schedule. If required to perform the non-value adding tasks, then she examines how they can be done in such a way that will add value.

Another example would be a division commander who examines the twenty reports the sub-units must submit each month and asks, "How does the information in each of these reports contribute to our outputs?" If he finds a report that does not add value, he simply ceases requiring it. In any given report, he removes those parts that do not add value.

One more example: A maintenance employee examines the process by which repairs are made on vehicles. He will likely find that there are a large number of steps in this process, starting with the initial inspection and ending with the repair being performed and re-inspected. In between these two events there will be forms to be filled out, parts to be ordered and logged, etc. In checking out this process thoroughly, the employee will likely find several steps that add no value at all. Ideally, these steps would be removed from the process, or if that is not possible they would be changed so as to add value.

It is hard to overestimate the power of this concept. How liberating it is to find valueless and seemingly pointless activities removed from the unit's schedule. Mandatory activities that once contributed little value to the organization's performance are rearranged so as to provide value. Activities that do provide value are transformed to provide greater value. As a result, the TQM leader maximizes the impact of everything that is done in the unit.

The value-adding leader must consider the process that transforms inputs into outputs. "How do we—step-by-step—provide maintenance service to our customer units? How do we—step-by-step—go about training for and performing high-risk activities?" These questions and more are frequently not asked and even more infrequently answered. But in gaining an understanding of the transformation processes that lead to our outputs, we seize the levers for organizing ourselves better and for finding better ways of doing business.

Focusing on value added activities is both a mind-set and a leader action. The result is less time wasted, more available time and energy for those activities that do add value, and decreased opportunities for error.

Continuous Improvement

A third tenet of TQM is continuous improvement. Like focusing on value added activities, this is both an endeavor and an attitude. It always says, "We can do this better" and strives to

find ways to do so. Continuous improvement means that every organizational member working at every task constantly directs his or her attention towards ways of increasing performance.

Leaders who embrace TQM do more than demand or encourage improvement. They incite it. They plan for continuous improvement and focus on finding better ways to do everything. They reject the adage that says, “If it ain’t broke, don’t fix it.” They ask their employees, “Can we do this better? How?” They take the little things seriously. They consider the ten seconds saved by a change to an ammo loading procedure to be significant; indeed, when repeated a thousand times it is significant! The outlook of continuous improvement can be stated as follows: we will get better through a multitude of simple and small changes to the way we do business.

Where do we start with continuous improvement? Everywhere and anywhere! However, one good place to start is at the biggest bottleneck we can see. We will find this by asking, “What task takes longest in the parts requisition process? At what point in the process are people waiting around? What step is keeping us from doing this faster?” These are the places where TQM leaders focus follower attention on problem solving.

TQM leaders recognize that problems are best solved by teams consisting of all the individuals who are connected to a particular task. If a problem exists with a certain task, a TQM problem-solving group would consist of workers who perform the focal task, workers who perform all the prerequisite tasks that contribute to the focal task, and customers who benefit from the task. The number of possible improvements is almost limitless and the TQM leader wants to learn about, evaluate, and implement all of them.

At its heart, continuous improvement is not about hitting home runs. Rather, the TQM leader seeks to hit a multitude of singles. Ultimately, we seek to focus and energize our followers with the attitude and the skills needed to constantly be about the work of continuous improvement. We embrace their ideas, we test and experiment, and we hope to do a little bit better today than we did yesterday. The power of this in action cannot be overestimated.

Empowered Employees

As the concept of continuous improvement implies, TQM cannot work unless employees are *empowered*. Empowerment means our employees are taken seriously. They must be provided the training, the tools, the opportunity, and the encouragement to get involved with improving the ability to produce quality outputs. TQM leaders want more than ideas, they want action from their employees, and they focus their own leadership efforts towards inspiring this.

When employees are empowered, leaders receive a much higher quality of information regarding the work being done. The company commander may know the most about the unit, but the sergeant knows most about the task he or she performs daily. When that follower is empowered—given both authority and responsibility to make improvements—the single person best suited to increasing the quality of that task is turned loose towards excellence.

Most of us remember when we were growing up, and our parents told us to turn off the lights when we didn’t need them. Or if we ran the water too long in the bathroom, we would be reminded that it costs money. Why didn’t we take these simple steps on our own? The reason was most likely because we were not invested in the family budgeting process. It

made no difference to us if the electricity bill was \$4 more or less each month. But what happens when one starts paying the bills? Suddenly that \$4 seems important, particularly when added to the \$2 saved in the water bill and \$30 saved each month with the leftovers we keep and eat. Such dollar-saving steps were always within our easy reach; only when we have a vested interest in the outcome do we make these simple changes to our behavior.

So it is with empowered employees in our work organizations. Why have they not made simple improvements before? Perhaps it is because they fear the repercussions of violating established procedures, even obviously wasteful ones. Maybe creative thinking was never encouraged. It may be that they have never received any credit for organizational improvement and never received feedback on the quality of organizational outputs. Perhaps it is because “we’ve always done it that way.”

How, then, do we empower our employees? First, we think back to Job Redesign Theory with its prescriptions: combine tasks, forming natural work units, vertical loading, establishing customer relationships, and opening feedback channels. These are an excellent start. We might also encourage experimentation and encourage people to challenge our policies and procedures while respecting the need for orderliness. We should ask our top performers what they are doing different--and they are doing something different (often they are violating our policies and procedures). We need to ask people what they think and we must reward initiative. In short, we should be engaging our employees in the process of producing quality outputs. Rather than merely asking them to perform a task, we make them responsible for their part in our organizational productivity, and we share the rewards of success. We provide information not just on how their job is going but also on how the organization is doing, and we enlist their hearts and minds in the effort towards quality. If we are reminded of transformational leadership, this is no accident. It is not enough to ask our people to contribute; we must inspire and invite and change things so that they are giving their best contribution.

Encouraged Teamwork

One way to empower employees is to place them into teams that are responsible for definable quality outputs. In fact, so powerful is this concept that *encouraged teamwork* is a fundamental principle of TQM.

We saw that forming problem-solving teams is one way to approach continuous improvement. But teams can be employed in any number of situations. The key point is that organizational members are no longer merely given tasks to perform but are placed within teams charged with producing organizational outputs. It is entirely possible to place a person within a team but not to define his or her job in terms of the team’s performance. In effective teams, members are trained in a wide variety of tasks within the team and are fully empowered to take responsibility for team performance. Team members are provided with information not just on how they are doing individually but on team performance as well. As stated in *Leadership for Total Army Quality*, TQM “emphasizes teamwork and process over individual and task as the way to improve work processes and solve problems” (p. 5). For teamwork to really contribute to excellence, “it must be clear that everyone in the organization is responsible and accountable for quality and continuous improvement.” This is the key to successful use of teamwork in a quality organization.

Benchmarking

The final tenet of TQM, *benchmarking* is the process of comparing the unit's work and service methods against the best practices used by others in order to identify where changes may be necessary. Benchmarking incorporates the use of comparison against like others to determine where efficiencies are built into that unit's procedures.

TQM leaders can employ benchmarking as their units attempt to employ new doctrine or when fielding new equipment. By watching other units that have successfully trained to standard, the leader (or other unit members) can bring those successful methods to the unit, avoiding the short-term inefficiencies that usually result from such changes.

Benchmarking allows units to transcend traditional boundaries by sharing with others the things that they do best.

Concluding Thoughts

It is evident that quality organizations are built around the people within them. Ever-increasing quality is built on the empowered and focused ability and effort, the shaped learning, and the unchained potential of the people in the organization. Naturally, TQM is more likely to be found in units with high cohesion and functional norms. Much of TQM's power is found embedded in the organization's culture; our organization's view of people, work, problems, and opportunities always influences what we do as leaders. Similarly, TQM is very much dependent on thoughtful leader behaviors, particularly those associated with transformational leadership, such as vision, high expectations, and confidence.

These six concepts—clearly defined quality outputs, continuous improvement, empowered subordinates, encouraged teamwork, focus on value added activities and benchmarking—are not magic formulas, and if treated as such they soon turn into just another fad or program. But to those committed to excellence and driven towards higher and higher levels of performance, these are powerful concepts for the continuous transformation of the organizations in which we work and on which we depend.

Learning Organizations

The very word "change" implies that something new or different will be implemented. Therefore, the concepts of change and learning are interrelated. Members of an organization undergoing change must gain new knowledge, learn different skills, and acquire additional abilities. New ideas are essential if effective change is to take place. Sometimes these ideas are created by individuals within the organization through flashes of insight or creativity. Other times they come from outside the organization. Wherever they come from, these ideas are the trigger for organizational improvement. However, organizational learning is not simply the sum of all individual learning within the organization. New ideas only create the potential for improvement and can't, by themselves, create a learning organization. A *learning organization* is an organization skilled at creating, acquiring, and transferring knowledge, and at modifying its behavior to reflect knowledge and insight (Gavin, 1993).⁸⁹

As with learning in all contexts, organizations can learn reactively or proactively. They can learn through the school of hard knocks, and hope that they learn quickly and

⁸⁹ Garvin, David A. (1993) "Building a Learning Organization" *Harvard Business Review* July-August, 78-91. Dr. Garvin is the Robert and Jane Cizik Professor of Business Administration at the Harvard Business School. His specialty is the leader's role in successful change processes.

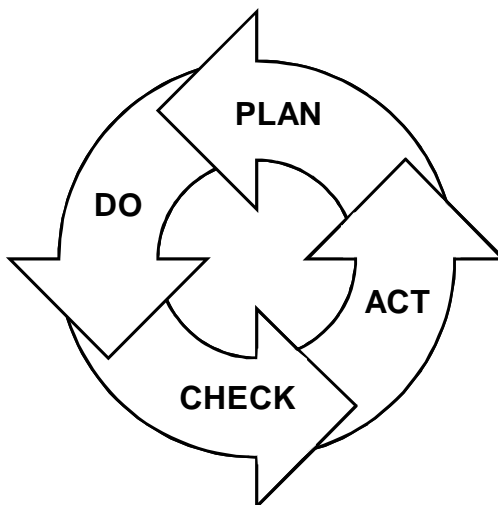
effectively enough to survive within their environment, or they can actively seek knowledge in order to anticipate changes in the environment. Organizations that are successful over long periods of time are those that establish systems within each of the organizational components that enable them to learn quickly and effectively in order to respond to changes in the environment as well as produce the required outputs. Learning organizations are skilled at five main activities:

- Systematic problem solving
- Experimentation with new ideas
- Learning from their own experience and past history
- Learning from the experiences and best practices of others
- Transferring knowledge quickly and efficiently throughout the organization

Systematic Problem Solving

The activity of systematic problem solving has its roots in TQM. Organizations that use systematic problem solving rely on the scientific method, rather than guesswork, to diagnose problems. Deming referred to this as the “Plan, Do, Check, Act” cycle (Figure 55).

Figure 55.



These organizations also insist on data rather than assumptions for decision-making. Additionally, they use simple statistical tools to organize data and draw conclusions. Accuracy and precision are essential for learning, so individuals in learning organizations are disciplined in their thinking and more attentive to details. They push beyond the surface symptoms in order to get to the root cause of issues, and continually ask “How do we know that’s true?”

Experimentation with New Approaches

The second activity involves the systematic searching for and testing of new knowledge. This activity is like systematic problem solving in that it also involves the scientific method. The difference is that this activity is focused toward the future rather than the present.

Experimentation with new approaches usually takes on one of two forms, ongoing programs and one-of-a-kind demonstration projects.

Ongoing programs normally involve a continuing series of small experiments that are designed to produce incremental gains in knowledge. A watch commander may use a series of training exercises to try out different tactics, techniques, or procedures. Ongoing programs work hard to ensure a steady flow of ideas, even if they are imported from outside the organization. A commander might volunteer several of his people to act as observer controllers at a tactical training to develop an understanding of new or different tactics, techniques, or procedures. Successful ongoing programs also use an incentive program that favors risk-taking. A commander may establish an award given to the employee's unit that comes up with the most unique problem-solving technique.

Learning from Past Experience

Learning organizations must continuously review their successes and failures, assess them systematically, and record the lessons in a form that people find open and accessible. An example of this type of action plan is the **After Action Review (AAR)**. This system empowers leaders at all levels to work with their employees in discovering what happened, why it happened, and how to sustain strengths and improve on weaknesses.

On a less formal basis, units also try to capture lessons learned from non-tactical experiences. Individuals may write up after action reports following major events. This way, when the unit has to accomplish the same or similar objective in the future, personnel who were not present for the initial event can still benefit from the lessons learned the first time. A typical after action report consists of a brief definition of the issue, a short discussion surrounding the good and bad points of what occurred, and a recommendation for next time.

Learning from Others

Not all learning comes from reflection and self-analysis. Many times the most powerful new perspectives come from outside of the organization. You read about one such method of learning from outside the organization in the previous discussion on TQM--benchmarking. You'll recall that benchmarking ensures that the best practices of other similar organizations are discovered, analyzed, adopted, and implemented. However, benchmarking is only one way of learning from outside the organization. Another source of new ideas is the customers. Customers provide the organization with up-to-date product or service information, competitive comparisons, insights into changes in the environment, and immediate feedback about service and patterns of use.

Transferring Knowledge

For learning to truly be organizational, knowledge must spread quickly and efficiently throughout the organization. The organization must have systems in place that facilitate the transfer of knowledge in order to maximize the impact of the new ideas. There are numerous

tools learning organizations use to spur this process, including written, oral, and visual reports; site visits and tours; personnel rotation programs; and education and training programs.

Case Study

The following Monday, you arrived at Records and Identification Division and immediately called a meeting with your sergeants and civilian supervisors. You began telling them how things are going to change now that you are in charge. You stated, “You may remember me from last week when my car was stolen. I had a first-hand opportunity to observe how R & I operates. You people have a very efficient operation; you can all be proud of that. But you are losing sight of your primary mission!

“This division is supposed to support the rest of the department and the public by supplying their police reports. Instead, you treat everyone like they’re a bother. From this moment forward, I want to make service to our clients our top priority! I expect every one of you supervisors to go out and make this happen!” You dismissed the group and they all left silently. Soon they were in full swing, giving last minute instructions to the clerks before the doors opened. You could already see a large crowd of customers waiting outside.

Later that morning, as you were tacking up your degrees and awards on your office wall, you were visited by Senior Management Analyst II (Senior MA-II) Karen Davis, one of the watch commanders. In a quiet and professional voice she said, “Chief, in the future, when you want to change the way we do things, I sure wish you would consult with me first. I’ve been working in the records function for twenty-five years, and I have seen everything tried at least once. I know that our way of doing business, prior to this morning, is the most efficient way to go. Everyone is getting the reports they need; we’re just getting it done our own way. Once you spend a little more time here, you’ll see that I’m right. Complaining is just part of being a cop, and those prima donna detectives complain the most.”

When you spoke to Senior MA-II David Walsh, another watch commander, he told you almost the same thing. “We’d all like to do the best thing, but I can’t figure out why you’d want to change an operation that has been getting rave reviews from all the bosses. At the retirement luncheon we threw for Chief Management Analyst Findley, he told us we were the best records division in the country. He said he was so proud of us he could cry, and he almost did. Where else do you see clerks coming up with better ways to do things and everyone else in the division supporting them?”

Your meeting was interrupted by the sounds of a loud argument coming from the reception area. Senior MA-II Walsh moved quickly to get between Records Clerk Oscar Santana and Detective II Christopher West. The last thing you heard before Walsh got them separated was Detective West’s voice shouting, “I don’t know who you think you are, but I’m not going to let some record clerk talk to me like that.” You’re not even sure to whom the comment was directed.

Senior MA-II Walsh pulled Santana into his office and asked him what happened. Oscar Santana replied, “This new touchy-feely stuff the commanding officer came up with just isn’t going to work! I know the only reason we’re trying this nonsense is to make the new boss look good. You see what happens when you try to be nice to cops? They take advantage of you and treat you like dirt. How can I get all this paperwork done if I don’t tell these people, plain and simple, what they need to do? I’m tired of trying to be Mr. Nice Guy—I wanna go back to getting the job done!”

The rest of the week must have gone better because even with your office door open, you didn’t hear any more shouting matches. The next Monday afternoon, you were back in

your office when the phone rang. It was a friend of yours, Captain Jack Black from Burglary-Auto Theft Division. Black told you that a whole stack of burglary crime-and-arrest reports, “the whole weekend’s worth,” had been misplaced by R & I. He waited until now to call you because he knew you were still getting settled into your new job, and he figured that they would turn up sometime this morning. Now, he pleaded with you to recover the reports as soon as possible because arrestees were in custody. You knew that meant the suspects had to be arraigned immediately, or they would be released without prosecution.

Captain Black also told you that the Federal Bureau of Investigation (FBI) inspection team would be here next week to do a Uniform Crime Report (UCR) audit. He didn’t usually know or care about “paperwork or computer stuff,” but it so happened that he had shared a bottle of scotch with an FBI special agent last night, and the audit came up in passing conversation. Knowing Black, you are pretty sure that his information is solid, even if his methods are a little unofficial.

Black added, “You know, I think you’re headed for trouble. That agent said something about an on-line, preliminary audit showing some UCR numbers looking ‘dead wrong’. If I were you, I’d jump on this right away, right after you get me those ‘Missing in Action’ burglary arrest reports!”

Now this was really a surprise. You knew the R & I employees were not real warm and cuddly, but they sure were efficient with their reports. You wonder when the UCR numbers got messed up—was it before or after your arrival? At any rate, the mix-up with the burglary reports is recent and disturbing. How could your employees bungle one of their simple, routine functions? You get up from your desk to hunt down the missing reports, before a bunch of crooks get released because there isn’t any paperwork for court.

I. *Identify* the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. *Analyze* the situation in terms of resistance to change.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

What component(s) of the Organizational System is/are undergoing change?

What type of change is being implemented?

What common sources of resistance to change are evident in this division?

(List the common sources below as well as a description of how it is demonstrated in the situation, e.g., cite the words, actions, and circumstances that led you to conclude that resistance is occurring).

Is there any evidence that the leader is using any strategies to overcome resistance to change? Please describe the strategies being used and indicate whether or not they are effective.

III. **Explain** any connection between the resistance to change and any problems the organization is experiencing.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

LESSON 30: THE ETHICAL DIMENSION OF LEADERSHIP

Introduction

This lesson consists of:

1. The Ethical Dimension of Leadership
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 135-652.
2. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the Areas of Interest.
 - II. **Analyze** the situation in terms of the Ethical Dimension of Leadership Theory.
 - A. **Identify** the guidelines for ethical behavior and determine whether they are clear or ambiguous.
 - B. **Identify** the consequences (i.e., rewards and punishments) for ethical behavior and unethical behavior.
 - C. **Classify** the levels of competition and stress in the organization as functional or dysfunctional.
 - D. **Classify** the level of comfort experienced by organizational members about reporting unethical behavior.
 - III. **Explain** an Area of Interest in terms of how the ethical climate is influencing the behavior and/or attitudes of organizational members and how this is affecting the throughput processes and the outputs of the organization as an Open System Model.
 - IV. **Select** the most appropriate leader behavior(s) to shape an ethical climate in the organization.
 - V. **Apply** concepts of the ethical dimension of leadership to increase the likelihood of ethical behavior among organizational members in the form of a specific leadership plan.
 - VI. **Assess**, evaluate, and revise your plan.
3. **Complete a Student Journal entry** using the Ethical Dimension of Leadership Theory.

Think about your current work group. How is the ethical climate causing undesirable behavior and/or attitudes on the part of the organizational members? What is the effect of that behavior and/or attitude on the individual, the group, the leader(s), and the organization in terms of being able to achieve the organization's goals? Is there any dysfunctional stress and/or competition in your current work group? What is the effect of the dysfunctional stress and/or competition? What concepts of leadership can be applied to decrease the dysfunctional stress and/or competition among your work group members?

What specific steps would you include in a leadership plan? Have you ever rewarded an employee's behavior specifically because it was ethical? What was the outcome and feedback subsequent to your leadership action?

Or

If you are not a formal leader in your work group, are you aware of a leader in your work unit rewarding an employee's behavior specifically because it was ethical? What was the outcome and feedback subsequent to the leader's action?

Please reflect on your past policing career. What leadership behaviors have you exemplified that contributed to establishing and maintaining a good ethical climate?

The Ethical Dimension of Leadership

A leader will be ineffective, and perhaps catastrophic,
if he fails to practice and promote ethics.

The Ethical Dimension of Leadership is the final formal lesson in this course. Hopefully, the previous lessons in this curriculum have been a positive influence upon your present and future development as a leader. Without proper ethics, none of the theories, none of the concepts, and no part of leadership will function. Without ethics, the leader has no credibility and the followers will not trust the leader. The establishment and daily pursuit of ethical conduct is central to every lesson in this program because it is fundamental to being a leader.

Moral, proper, exemplary personal behavior is at the very core of a leader's ethical responsibilities. Employees will notice, criticize, or worse yet, emulate the moral failures of their superior officers. World history, from ancient to modern times, is filled with examples of how otherwise-competent leaders failed the ethical evaluation and experienced disastrous results. But even if we resist personal temptation, how do we effect what our employees and peers do?

“THE THINNEST BLUE LINE”

Paul Keegan

New York Times Sunday Magazine, March 31, 1996. Copyright 2002 The New York Times Company, reprinted with permission of the publisher.

RICHARD PENNINGTON LOOKS DOUR AS HE THREADS HIS way among the ponytails and little black dresses at Planet Hollywood in the French Quarter. The new Police Superintendent is wearing a splashy tie, and his double-breasted suit makes his broad shoulders appear even more imposing than usual. But he remains silent as his wife, Rene Webb, stops to mingle. Scanning the room through wire-rimmed glasses, Pennington seems aloof, distracted. It has been 18 months since he was brought in from Washington to clean up the New Orleans Police Department, which some have called the worst in America. Yet the chief continues to maintain a wary distance from strangers, still not sure whom to trust.

You can hardly blame him. Only days after his arrival, Pennington learned that in recent years the department has behaved less like a police force than a loose confederation of gangsters terrorizing sections of the city. The Federal Bureau of Investigation informed the chief that it had wiretapped one of his officers, Len Davis, as he allegedly ordered the killing of Kim Groves, a 32-year-old mother of three who had filed a police brutality complaint against him.

Even more chilling was that the FBI said it happened to overhear the murder plot while conducting a drug sting, later described as the biggest case of police corruption in New Orleans history. Davis's lawyers did not respond to requests for comment. But prosecutors charge that Davis conspired with 10 other officers to use their police positions to guard more than 286 pounds of cocaine that F.B.I. agents posing as dealers had stashed in an abandoned warehouse, according to court papers. By the time the agents managed to decode Davis's street slang and police jargon, it was too late. Kim Groves was shot in the head while standing in front of her house.

Pennington barely had time to recover from that shock when a 24-year-old patrolwoman named Antoinette Frank and an accomplice executed two members of a Vietnamese family who owned the restaurant Frank was robbing and also killed a fellow officer moonlighting as a security guard. Quickly convicted and sentenced to death in September, Frank was the fourth New Orleans Police Department officer charged in connection with a murder in one year and among the more than 50 cops arrested for felonies, including bank robbery and rape, since 1993. Says Pennington, who visited the triple-murder scene that night, “It was kind of mind-blowing.”

As Pennington works his way through the crowd at Planet Hollywood, his very presence here is a sign that things are changing. The party is being given by Gambit, a weekly newspaper whose editor, Allen Johnson, has been a persistent critic of the department. Johnson says previous chiefs may not have felt entirely comfortable attending such events in the past. When a guest suggests that the cops in New Orleans are no worse than anywhere else, Johnson says, “Let's put it this way: We may soon have the distinction of having two cops on death row. How many other cities can say that?”

With Davis scheduled to go on trial soon on charges of conspiracy to violate the civil rights of Groves, New Orleans and its police chief have reached a watershed moment. While some of his reforms are in place and there have been no spectacular incidents since the Antoinette Frank murders a year ago this month, Pennington acknowledges that new rules are not enough. His mission is nothing less than to transform a deeply rooted police culture that, as an expression of this city's peculiar character, has defied every attempt over the last century to bring it under control.

Pennington and his wife slip back through the crowd and head for the door. This may be America's party town, but not for them. The new chief knows it's his Police Department now. Stepping onto Decatur Street and disappearing into the muggy New Orleans night, he remains haunted not only by what his cops have already done—but what they still might do.

IT'S 5 O'CLOCK ON A RECENT AFTERNOON, and Pennington is eating a late lunch of peanuts at his desk. He's 48 years old, but his receding hairline and soft-spoken manner give him an almost grandfatherly bearing. In his police uniform, Pennington speaks in a monotone about the dilapidated condition in which he found the department, from sloppily dressed officers to beat-up squad cars. "My office not well lit?" he says. "Oh, man. The furniture was so old; the carpet was old. I had no computer."

Pennington explains his strategy for New Orleans—lots of Federal assistance, community policing and rigorous new rules. It developed out of the 26 years he spent on the police force in Washington. A native of Little Rock, Ark., who served in the Air Force in Vietnam, he became a police officer in 1968 and couldn't help noticing how much more comfortable blacks felt approaching him than his white partner, a Harvard graduate named Donald Graham, later to become the publisher of *The Washington Post*. Cops are far more effective when they are active in the communities they police, he says. He was credited with cutting the homicide rate of Washington's violent Seventh District, where he was commander in the early 90's.

Pennington rose to assistant chief, gaining a reputation as a likable, compassionate officer after working closely with Washington's Asian and gay communities and earning a master's degree in counseling. He also developed close relationships with Washington insiders like Louis Freeh, who later became the FBI Director. Pennington was chosen after a six-month national search by Mayor Marc Morial, the 38-year-old son of New Orleans's first black Mayor, Dutch Morial. The younger Morial was elected in 1994 on a promise to control crime and clean up the scandal-plagued department.

Pennington wants to make sure he has his facts right, so he reads from a list he has prepared of his accomplishments, beginning with an 80 percent drop in the homicide rate at the Desire housing project. Located near the Industrial Canal, so far from downtown that the skyline looks like another city, Desire is a sprawling village of nearly 2,000 residents who live in two-story brick buildings put up shortly after World War II. Two-thirds of the apartments are abandoned, graffiti-covered shells that make excellent drug dens. This is where Len Davis roamed freely for years and was known as "Robocop."

Desire provides a case study of the staggering problems facing New Orleans and its Police Department, as well as Pennington's tentative search for solutions. More residents of New Orleans live in poverty—32 percent—than those of any other large American city except Detroit. Some say ghettos like Desire have been ignored for decades because even though black politicians have controlled City Hall since 1978, African-Americans have never

broken the white hold on economic power. But some dark-skinned blacks in Desire say they have been victims of racist neglect by the political elite of light-skinned black Creoles. Whether the politicians are white or black, a more prosaic fact has remained constant over the years: there has never been much campaign money in these areas.

The city's tax base has dwindled since the oil business collapsed in the early 1980's, leaving tourism as the main industry providing jobs. And New Orleans's annual budget of \$408 million for a population of 479,000 is less than half that of Cleveland, which has about the same population. This leaves few dollars for municipal services like the police force. The department's starting salary of \$17,000 is still among the lowest in the nation's big cities, making it difficult for the new chief to replace the 200 officers whom the department, now down to 1,300, lost in the turmoil of recent years.

But Pennington has made a difference in Desire, which becomes clear after only a few moments of accompanying Lieut. Edwin Compass around the projects. Having spent much of his youth in the neighborhood, Compass is now commander of 45 officers in a new 24-hour substation Pennington installed in an abandoned building. Little children run up to Compass and wrap themselves around his legs, and teen-agers playing basketball in the community center invite him to take a few jump shots.

Brother Twin, a former Black Panther who has lived in Desire for 30 years and remembers the day in 1971 when the Panthers had a shootout with more than 100 New Orleans cops, says the fear of the police is diminishing. He gives the lieutenant credit for not flinching when drug dealers firebombed his police car last year as he started making hundreds of arrests.

The Desire substation is being financed with a \$2 million Federal grant that Pennington obtained under the 1994 crime bill, a program now under attack by Republicans in Congress. It's just one example of how his Washington experience has come in handy. Another is that Pennington persuaded Freeh to provide two FBI agents to work as part of the police force to root out corruption.

Community policing and Federal dollars, however, can't solve the problems for which the New Orleans Police Department is notorious. James Fyfe, a Temple University professor and New York City officer for 16 years, observes that some departments have reputations for being brutal (like Los Angeles) or corrupt (like New York), and still others are considered incompetent; the New Orleans department has accomplished the rare feat of ranking high nationally in all three categories.

The department allowed the city to become the homicide capital of America in 1992 and 1994 while solving only about 37 percent of the murders, half the national average. It has also ranked near the top in brutality complaints since 1980. Federal officials estimate that 10 to 15 percent of the force is corrupt—and some cops say privately that the true number is twice that.

Pennington found problems at every turn. A police academy recruit who had been fired over allegations of stealing told the new chief that 9 or 10 classmates had done worse—including charges involving narcotics. "Sure enough, I found 9 or 10 that had done worse than what he'd done," Pennington says. "So I fired all them, too."

There was no doubt about what Pennington had to do: carry out the reforms suggested in four independent reports that had lambasted the department but were ignored. Pennington raised hiring standards, retrained his officers, set up an early-warning system to

flag potentially troublesome officers and created a new public integrity division to seriously investigate allegations of wrongdoing.

Leaning over his desk, Pennington says, "If you took a poll today, probably half the officers will tell you they don't like me." The disfavor seems to transcend race and sex. Floyd Truehill, a black officer, says, "Chief Pennington thinks everybody on the police force is a crook, like we're all dealing drugs or stealing." And a female officer, who insisted on not being identified, is convinced she is not being promoted because she is white. "He's an idiot," she says, "a yes-man for the Mayor."

But some civic leaders see Pennington as the man who could save their city. Even jaded members of an informal network of citizens who share and sometimes publicize information about police misconduct see signs of hope. Mary Howell, a lawyer who has represented victims of police brutality for the last two decades, says: "When Pennington announced his reforms, he called it 'a battle for the soul of our city.' It's a relief to finally hear that kind of language."

THE PEOPLE OF NEW ORLEANS ARE still wary, fearful of crime and distrustful of the police. A tourist walking into a nearly empty souvenir shop on Canal Street late one night finds an immigrant proprietor pleading with him not to leave him alone with the surly character wearing headphones and loitering near the beer case. Why doesn't he call the cops? The man lets out a rueful laugh. Other victims of crime worry that the cops will show up, like the young entrepreneur who runs a cell-phone company. He points to the black scuffmarks on a wall where a thief climbed down and stole some equipment. The staff had a meeting about whether to call the police. "But then we figured, 'Hey, we've got a couple hundred thousand dollars' worth of equipment here. Those cops make about \$16,000 a year. No way.'"

The more skeptical citizens in New Orleans doubt that Pennington can prevail because the forces that created Len Davis still exist, deeply imbedded in the city's culture and politics. They have heard the rhetoric of reform many times before, which comes as surely as repentance follows Fat Tuesday. There were at least eight periods of outcry in the second half of the 19th century alone, and in the early 1950's, a citizens' commission exposed widespread cases of theft, extortion, bribery and gang rape before the uproar subsided, as always, and the New Orleans Police Department went back to normal.

The department has always been politically manipulated by the mayors who retain the authority to appoint a chief's deputies. When Sidney Bartholomey was Mayor, from 1986 to 1994, the Police Department really began to fall apart as some deputy chiefs were undercutting the chief because they wanted his job. Each of the four deputies had his own faction. Mike Doyle, head of the city's Civil Service system, says, "We had the equivalent of four Mafia crime families running the Police Department."

By early 1993, when some members of one superintendent's vice squad were caught in a classic shakedown of strip-joint owners right out of "The Big Easy," the department had become so balkanized that feuding cliques began settling scores by leaking evidence of wrongdoing by rival officers. One scandal after another hit the front page of *The Times-Picayune*: an elaborate system of cops' recovering stolen cars and keeping them, for example, and a patrolman's passing out naked on the floor of a crack house.

Meanwhile, a strange entrepreneurial climate emerged, encouraging officers to put in long hours moonlighting on private security details and to treat police work as their second

jobs. These security details served as a kind of legal protection money that gave the department a perverse financial incentive to let crime soar (if neighborhoods were safe, restaurants wouldn't need to hire a cop to stand in the doorway). More important, these jobs weakened the command structure. A patrolman with excellent contacts could hire his superior officers so often to guard restaurants or arenas that he could be responsible for half his boss's annual income.

"How's a captain going to supervise a lieutenant that gives him a detail off duty where he's making hundreds of dollars?" says Pennington, who has limited the number of hours officers can moonlight to 20 hours a week. "You can't discipline him. That lieutenant says: 'Captain, you're getting ready to give me some discipline? For the last two years I've been letting you work at this detail, making an extra \$20,000 or \$30,000!'"

In such an atmosphere, even cops who weren't running details could quite literally get away with murder, and the internal affairs division was a joke. Though Davis was suspended at least six times for a variety of offenses during his six-year career, from refusing orders from superiors to hitting a woman in the head with his flashlight, most of the complaints made against him were not sustained.

The department also remains deeply divided racially. Pennington's main opponent is the predominantly white Police Association of New Orleans, which lays the blame for officers like Davis and the decline of the department on an affirmative action program that began in 1987 and has quickly brought blacks to account for 45 percent of the police force, though they have still been largely shut out of ranking positions below the deputy chief level. "They wanted a police department that reflected the city of New Orleans," says Lieut. David Bennelli, the No. 2 man at the police association. "Well, they got it."

But Davis was actually following a long entrepreneurial tradition at the department. The only difference is that unlike the "clean corruption" historically practiced by white officers—shakedowns of French Quarter bar owners, for example—the new crop of black officers was left with "dirty corruption" of the lucrative but deadly drug world.

That world is deadly, too, for residents of New Orleans who happen to get in the way. Within two hours after Kim Groves's complaint against Davis, which said he had beaten up a neighborhood teen-ager, he found out about it. The next night Groves was shot in front of her home on Alabo Street at point-blank range by a young black male who took off in a car with two other men, witnesses said. It was just before 11 o'clock on the night of Oct. 13, 1994, only hours after Pennington had been sworn in.

SOME PEOPLE IN NEW ORLEANS wonder if Pennington, with his gentle, earnest manner, is tough enough for this town. "They've spread vicious rumors about me, everything they can to discourage me," he says with a shrug. It's true. Cops love telling reporters off the record that he beats his wife, that they've separated, that he's an alcoholic who hangs out in strip joints. But, Pennington says, "I've never thought about quitting."

Since he didn't bring any trusted associates from Washington, Pennington has been forced to rely on ranking officers who learned everything they know from the corrupt culture of the department. "You don't know who to trust," he admits.

"I think Pennington is incredibly isolated," says Mary Howell, the lawyer who filed a lawsuit that tries to hold Davis and three former police superintendents, among others, responsible for Groves's death. "He's out there swimming in shark-infested waters."

Besides revelations during Davis's criminal cases that will keep the department on trial through most of the year, Pennington also has to worry about what might be called the James Parsons syndrome. Parsons, a white chief brought in from Alabama in 1978 by Dutch Morial, was the only other outsider to try reforming the department.

Two years later, a mob of white cops went on a rampage for several days in a black section of town in retaliation for the murder of a police officer. Four people were killed and as many as 50 injured. As Howell tells the story, some people were tortured and others were dragged out to the swamps, where mock executions were performed. Because it happened on Parsons's watch, he was forced to resign, and the former chief believes that was the point all along—to prove that the New Orleans Police Department was beyond anyone's control.

The same kind of thing could easily happen to Pennington. Last fall, the city got that sick feeling again when it was announced that a patrolman, Victor Gant, was a suspect in the serial killings of 24 people, most of them left lying naked near swamps. But this time, it was Pennington making the disclosure, perhaps to show that he was in control of the department, although no charges have yet been brought. Through the Police Department spokesman, Gant had no comment.

The chief heads out of his office into a corridor, where workers are putting in a new carpet. "They're going turn this into a real office," he says.

But chiefs before him have said that. The question for the people of New Orleans is whether they will finally give the chief the kind of support he needs to succeed.

“CHIEF SUFFERED IN SILENCE”

Cindy Tumiel and Maro Robbins San Antonio Express-News, March 24, 2001. Copyright 2001, reprinted with permission of the publisher.

For three years, San Antonio Police Chief Al Philippus walked around his headquarters with a closely guarded secret.



Police Chief Al Philippus holds a copy of the San Antonio Express-News as he conducts an interview in his office concerning the police officers arrested for involvement in drug trafficking.
Photo by Bob Owen/Express-News Photographer

So guarded, in fact, that he was the only person in the building who knew federal agents were investigating officers in his department on suspicions of corruption.

“I told no one,” Philippus said Friday, a day after eight San Antonio cops were among 12 men arrested on federal charges of narcotics trafficking, theft and firearms violations. “It’s a pretty awful burden to carry around.”

But as it is with most secrets, sooner or later the burden is lifted.

The wraps started coming off this one about 3 a.m. Thursday, when two dozen officers from the Special Operations Unit were called out of bed in the dead of night.

They were told to put on their standard police uniforms and report to work, without making a single phone call or uttering a single word on their two-way radios.

From there, the officers were teamed with FBI agents.

By 6 a.m., they were briefed on their jobs that morning and placed in position around the city. Each team had the name of one individual to arrest.

By 6:30 a.m., it was over. Twelve men were in custody; 10 of them law enforcement officers.

Four of the officers were arrested as they were about to begin their patrol shifts that morning. Another was pulled over and arrested as he drove away from his home.

San Antonio officers Conrad Fragozo Jr., Patrick Bowron, Peter Saenz, Arthur Gutierrez Jr., Lawrence Bustos, Manuel Cedillo Jr., Alfred Valdes and David Anthony Morales, plus former Bexar County Reserve Deputy Constable Gilbert Andrade Jr., Bexar County sheriff’s Deputy Richard Rowlett Buchanan and civilians Edward Fragozo and

Albert Mata, now stand accused of federal offenses that could net them a maximum sentence of life in prison.

FBI agents say 10 of the defendants took money from people they believed to be drug dealers in exchange for protecting drug transactions or movement of drugs about the city.

Six of those 10 are accused of conspiring together. The rest are charged individually.

Valdes is accused of supplying information he had access to as a police officer to undercover agents who were posing as drug dealers. Buchanan is accused of breaking into a car and stealing \$2,000 in government money.

Philippus said an FBI agent paid him a courtesy call in January 1998 to tell him about the beginning of the investigation.

At that time, the FBI had little more than accusations and a couple of names provided by an informant, said Philippus and other sources close to the investigation.

The accusations were that these officers would break the law for money: some allegedly were willing to use drugs, steal cars and rob drug dealers, said San Antonio's top federal prosecutor, U.S. Attorney Bill Blagg.

"It started small, but (investigators) had a suspicion it was a big, big network," said another source, who spoke on the condition of anonymity.

The investigation's focus slowly grew to include six officers who knew each other socially. Among the six conspirators, Conrad Fragozo Jr., the sergeant who held down various part-time jobs for city agencies, was one of the first, Blagg said.

"Fragozo comes in, he starts bringing his friends in and they start bringing (the others)," he said.

Others, who may not have known all the other participants, are accused of having limited involvement before they stopped; for example, Morales, a 39-year-old patrol officer is charged with twice attempting to distribute cocaine.

Blagg said at least one wore a uniform and used his patrol car to transport drugs. Others wore partial uniforms and plainclothes and drove their personal vehicles.

On several occasions, they carried their service weapons, Glocks loaded with 15 and "one-in-the-chamber" bullets, he said.

The prosecutor said that about a month ago, the conspirators apparently stopped recruiting new members. At that point, federal authorities decided to alert Philippus.

"It was time to bust it out," Blagg said.

Philippus said he received no updates on the investigation during those intervening three years. He was brought up to speed last week and found the accusations and volume of evidence disturbing.

"I've always known that this was kind of hanging out there," he said. "I certainly didn't know it would be of this magnitude."

Philippus said he broke his silence on the probe just before the arrests to let a few of his closest advisers know about the imminent arrests.

Usually, he said, federal agents move in without seeking cooperation or help from local authorities. But this time, they asked San Antonio police for help, and Philippus pledged his support.

Arresting fellow officers is an unpleasant task, Philippus said, but his officers carried out their assignments without complaints.

ctumiel@express-news.net (03/24/2001 12:00:00)

ARRESTS TROUBLE CITY, RAISE CASE CONCERNS

By Cindy Tumiel, Express-News Staff Writer
Express-News: Metro and State

Reaction to the arrests of eight San Antonio police officers Thursday ranged from disbelief to disappointment, but the most common emotion was shock.

And for some prosecutors, there was the additional concern of the effect of the arrests on unrelated cases being handled by the accused officers.

The officers arrested were Conrad Fragozo Jr., Patrick Bowron, Peter Saenz, Arthur Gutierrez Jr., Lawrence Bustos, Manuel Cedillo Jr., Alfred Valdes and David Anthony Morales.

Also arrested were Sheriff's Deputy Richard Buchanan, Our Lady of the Lake University investigator Gilbert Andrade Jr. and civilians Edward Fragozo and Albert Mata.

Joel Perez, who represents Conrad Fragozo Jr., and law partner Hilda Quesada-Valadez described Fragozo as a family man and good cop who was vying for a lieutenant's position on the force.

"I've worked with him since he was a patrol officer," Quesada-Valadez said. "He's an excellent police officer ... honest, punctual, dedicated ... I can't say enough good things about him."

The news of Bowron's arrest was numbing to his sister, Debra Reyes.

"He loved (his job). That's why I'm in shock," Reyes said. "He would never do anything wrong. He was proud to wear that uniform. It became his whole life."

At the West Side substation, where Bowron, Saenz, Bustos and Cedillo were assigned, officers gathered around television sets with grave expressions as the news broke.

"It diminishes all of what we do, all of what we stand for," Sgt. Laura Andersen said. "We're supposed to be better than everybody else and now the community has doubts."

Dave Berrigan, a community policing officer who works on the Northwest Side, said he dreaded going back to work and hearing the community reaction.

"It's sickening," Berrigan said. "My guts are churning as we stand here."

Some city residents interviewed Thursday said the indictments affected their opinion of the Police Department.

"Yes, something like this breaks your trust in the police," said Stephanie Wilhelm of Alpha Quadrant, a consulting firm.

Bexar County courthouse officials anxiously listened to radio announcements of the arrests Thursday, aware that the charges could jeopardize other criminal cases in which the arrested officers played a role.

"If any of these (law enforcement) officers were central witnesses on a case, it becomes very problematic," District Attorney Susan Reed said. "If I don't think some guy's credibility is worth something, we've got a problem."

With no centralized computer system, Reed said it was impossible to know how many, or which, cases might be affected.

At City Hall, Councilman Bobby Perez said the news was “incredibly disheartening,” but added that he expects the officers involved to be prosecuted to the full extent of the law.

“It undermines our credibility and all the things we’re trying to do,” Perez said. “It’s a black eye for our community.”

Councilman Tim Bannwolf said the arrests were “a shock to all of us.” He said he recognized the officers are innocent until proven guilty, but the allegations “have certainly cast a shadow over the rest of the department.”

Bexar County Commissioner Paul Elizondo said he hoped the arrests wouldn’t tarnish the reputation of all officers.

“It took our officers to catch our officers,” he said. “There are good and bad officers everywhere, but the system seems to be working.”

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Staff Writers Karisa King, Amy Dorsett, Lisa Sandberg, Manny Gonzales, Linda Prendez, William Pack, Tom Bower, Daryl Bell and Jeanne Russell contributed to this report.

03/23/2001 12:00:00

Los Angeles Police Department

BOARD OF INQUIRY into the

RAMPART AREA CORRUPTION INCIDENT

Executive Summary

BERNARD C. PARKS
Chief of Police

March 1, 2000

INTRADEPARTMENTAL CORRESPONDENCE

March 1, 2000
3.4

TO: The Honorable Board of Police Commissioners

FROM: Chief of Police

SUBJECT: BOARD OF INQUIRY INTO THE RAMPART CORRUPTION INCIDENT

Honorable Members:

It is requested that the Board approve the enclosed Report of the Board of Inquiry that was convened to gather facts related to the Rampart Area corruption incident. Upon approval, the report should be forwarded to the Mayor and City Council for appropriate action. The Board of Inquiry's report contains many thoughtful short and long-term recommendations that we believe are necessary to prevent similar incidents from occurring in the future. As the City's formal budget process begins in mid-April, there is some urgency in reaching consensus on several key recommendations requiring financial support.

As we have discussed on several occasions, this is the first of at least two public reports that will be issued regarding the corruption investigation. This first report examines and analyzes the management aspects of the incident including a Department wide examination to determine the breadth and depth of the problem. Recognizing our responsibility to be open and candid with the public we serve, an executive summary has also been prepared and, along with the full report, is now available to the public on the Department's Web site (www.lapdonline.org). As a Board of Inquiry (BOI) is a fact-finding body, extensive follow-up investigation will be required into the personnel issues identified through the BOI process. To facilitate that effort, a complete record of the Board's findings, which includes legally protected personnel and disciplinary issues, has been compiled and will be used to ensure those issues are addressed.

Similar to the public report we issued several years ago at the conclusion of the Fuhrman investigation, a second report will be issued after the Rampart Task Force has completed its investigation. We believe it is imperative that full and complete public disclosure occurs regarding this investigation including public disclosure of the exact nature and disposition of each allegation. Given the complexity of the Rampart investigation and the need to investigate these charges fully and thoroughly, we would expect that report to be issued in about a year. Until that time, the Department will continue to brief the Board of Police Commissioners, as well as the Mayor and City Council, regarding the investigation's progress, which is being conducted jointly with the District Attorney's Office and the Office of the United States Attorney General.

We believe it is important to state once again, that the Los Angeles Police Department discovered this corrupt behavior and immediately initiated a

comprehensive investigation into the entire matter. For almost two years now, we have committed substantial resources to that investigation and will continue to do so as the investigation progresses. At no time did we attempt to hide or keep this incident from the public. On the contrary, we made immediate and full disclosure to the Board of Police Commissioners, the Office of the District Attorney, the United States Attorney's Office, and then to the public. We continue to work hand-in-hand with the prosecutorial agencies and are submitting the results of each investigation to them for criminal filing. As I committed to the people of Los Angeles in August 1998, we will thoroughly investigate **every** criminal lead and allegation of misconduct to its appropriate disposition.

It is important to remember during this difficult time that the vast majority of our officers are hard working, honest and responsible individuals who come to work every day to serve their communities. However, as human beings we know that certain events indelibly alter our lives, whether we realize it at the time or not. Anyone who has experienced the death of a child, or suffered through the humiliation of being victimized by a violent crime, knows they can never again look at the world in the same way. Organizations too have those defining moments and the events that have been uncovered in Rampart will and should be just such a life-altering experience for the Los Angeles Police Department. The men and women who chose to involve themselves in this disgraceful activity will be dealt with. But, we as an organization must recognize that, while they individually and collectively provided the motivation, we as an organization provided the opportunity. Our failure to carefully review reports, our failure to examine events closely to identify patterns, our failure to provide effective oversight and auditing created the opportunity for this cancer to grow. So, as tempting as it may be to declare the battle over and the war won, we must never forget that this occurred and be ever vigilant that we **never** allow the opportunity for this to occur again.

BERNARD C. PARKS
Chief of Police
Enclosures

PREFACE

From “Police Integrity, Public Service with Honor” U. S. Department of Justice, January 1997. Reprinted with permission of the publisher.

In 1996, the Department of Justice convened the National Symposium on Police Integrity. The 200 participants in this three-day meeting included police chiefs, sheriffs, police researchers, members of other professions, and community leaders. In addition to the United States, there were representatives from the United Kingdom, the Netherlands, Sweden, Belarus, Nicaragua, Haiti, El Salvador, and Honduras. The results of that symposium were published in January 1997 and included the thoughts and observations of many national leaders from Attorney General Janet Reno to Dr. Vicchio, a professor of philosophy at the College of Notre Dame in Baltimore¹.

Though there are a number of interesting and insightful viewpoints expressed in that publication, there is one in particular which is most relevant to the issues at hand. That observation came from Captain Ross Swope, Metropolitan Police Department, Washington, D.C. At the heart of Captain Ross Swope’s remarks was a simple yet profound observation that:

“The major cause in the lack of integrity in American police officers is mediocrity.”

Captain Swope went on to explain that mediocrity stems from the failure to hold officers responsible and accountable. It comes from a lack of commitment, laziness, excessive tolerance and the use of kid gloves. He felt that dealing with mediocrity is perhaps the greatest contemporary challenge to American law enforcement.

When asked to explain how mediocrity is dangerous, Captain Swope drew an analogy of the bell curve. At the high end of the bell curve are those officers who practice all the core values: prudence, truth, courage, justice, honesty and responsibility. At the other end, are the officers with few of those values. In the large middle are those officers who have some or most of the core values. The extent of moral influence in a police department depends on the extent to which the lower and upper portions influence those in the middle. The men and women who control that influence are sergeants, lieutenants and captains. The irony is that everyone within a work place knows full well which of the three categories their co-workers fall into. When officers in the middle see that officers at the bottom end are not dealt with, they sometimes begin to imitate their behavior. Similarly, when those at the top end are recognized and rewarded, they become the workplace standard. The principal, though not exclusive, agents in encouraging top-end or allowing bottom-end behaviors are supervisors and middle managers. It is our sergeants, lieutenants and captains who have the daily and ongoing responsibility to ensure that the appropriate workplace standards are maintained. However, that observation in no way relieves upper managers from their responsibility to ensure that proper standards are being maintained in their subordinate commands by

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providing appropriate guidance, exerting their oversight responsibility and honestly evaluating the effectiveness of the commands for which they are ultimately responsible.

As you read this report from the Board of Inquiry, keep Captain Swope's observations in mind for we found, and you will see, that mediocrity was alive and well in Rampart up until about 1998. We are sad to report that we also found mediocrity threatening to engulf many of our other workplace environments as well. This is not to say or imply in any way that corruption is occurring throughout the Department, for we do **not** believe that is the case. However, there are strong indicators that mediocrity is flourishing in many other workplaces and the mindset of too many managers and supervisors is allowing it to occur. Rather than challenging our people to do their best, too many of our leaders are allowing mediocre performance and, in some cases, even making excuses for it.

If Captain Swope is correct in his observation that corruption follows mediocrity, and we believe that he is, then we must begin immediately to instill a true standard of excellence throughout the Department. In most cases, this will not require new programs or approaches to police work. However, it will require the scrupulous adherence to existing policies and standards, the ability to detect any individual or collective pattern of performance which falls short of that expectation, and the **courage** to deal with those who are responsible for those failures. Anything less will surely allow another Rampart to occur.

In conclusion, we would like to express our gratitude to the leadership of the subcommittees and work groups as well as the over 300 men and women who worked so tirelessly in conducting this Board of Inquiry. Tens of thousands of documents were meticulously reviewed and hundreds of interviews conducted. In many cases, this was done while people continued to fulfill the responsibilities of their primary assignment. We would also like to express our sincere appreciation to the nearly seventy men and women currently assigned to the criminal and administrative task forces pursuing the Rampart corruption investigation. Obviously, their story of dedication and tremendous personal sacrifice cannot be told now, but we are confident they will receive the recognition so clearly due them.

Deputy Chief Michael J. Bostic
Chair, Board of Inquiry

Police Administrator II William R. Moran
Associate Member, Board of Inquiry

Deputy Chief Maurice R. Moore
Associate Member, Board of Inquiry

Commander Daniel R. Koenig
Assistant to the Board of Inquiry

¹ "Police Integrity, Public Service with Honor" U.S. Department of Justice, January 1997

Whether the incidents reported in the above articles and report are interpreted as simply the fault of a few weak or flawed characters, who happened to hold key leadership roles, or is seen instead as symptomatic of a complex organizational phenomenon, moral failure on such a scale as these illustrate the awesome importance of the ethical dimensions of organizational leadership. Our recent history provides many other examples of significant moral failures involving organizational leaders in both the government and private sector.

There are many important questions that should be addressed in order for us to understand moral conduct within an organization. For example, how do we develop as individuals into moral beings capable of deciding and doing what is right? How do organizations influence the moral behavior of their members? What is the role of the leader in establishing and maintaining an organizational climate that fosters moral development and encourages moral behavior by its members?

In this lesson we will examine several approaches to understanding moral development as well as the implications of each for an organizational leader. There are many ethical sources that influence the moral behavior of the individuals who make up an organization, including the individual, peers, groups, and the larger society. As we discussed in this course, society transmits values and norms through its socializing institutions to the individuals who make up society. Individuals, in turn, develop (or fail to develop) into moral beings that both influence and are influenced by other group and organizational members. The organization and its subgroups operate to influence the ethical choices of members. The very purpose of an organization may give rise to ethical standards that affect the moral behavior of its members (as in the case of a professional police ethic). We will also attempt to establish the leader's responsibility for creating a climate that leads to the moral development of employees and increases the likelihood that the members will make the proper choice in situations calling for ethical decisions and moral actions.

Although there is an ethical dimension to the social environment in which any organization exists, police organizations are of special interest to the authors of this text. Throughout this lesson, you will see the words *moral* and *ethical*. Ethical is used with reference to a specific system of standards, principles, or values that lead to determinations of right and wrong conduct. Moral is used to convey the idea that certain individual behavior is right without referring to the particular ethical system that leads to the determination of what is right.

Moral Development of Individuals

Moral development is, to a great extent, determined by the cultural standards of the larger society from which organizational members come—a point that was developed in previous lessons. Individuals are prepared by their previous experiences to behave in accordance with societal standards of right and wrong. The resultant personal ethic consisting of the values, beliefs, and attitudes about what is proper and acceptable behavior is one of the major sources of influence on individual moral behavior within an organizational setting. These individual moral standards influence and are, in turn, conditioned by group and organizational factors. The impact of individual moral development is particularly crucial if the individual in question is an organizational leader.

To what extent can the leader influence the moral development of others? If the answer is relatively little, then the leader who wishes or is required to establish and maintain an ethical climate is faced primarily with a problem of selecting moral people. On the other

hand, if moral development is not fixed at some particular stage in a sequence of development, then perhaps the leader can do more than merely select those who are most moral (assuming this could be assessed). How then do we develop into human beings capable of moral action and of deciding between right and wrong? What is the nature of the process of moral development and how, if at all, can the leader influence that process within an organization?

The Psychoanalytic Approach to Moral Development

There are several contemporary theories that attempt to explain how moral development occurs. One approach is that of the renowned psychoanalyst Sigmund Freud.⁹⁰ We need to examine Freud's approach first because if he is correct, then there may be little that the leader can do beyond selecting and eliminating people based on moral standards.

Freud observed that many of his patients suffered from severe feelings of guilt. These feelings served both to inhibit their behavior, usually sexual or aggressive in nature, and to punish themselves for engaging in, or merely for thinking about, improper behavior. In Freud's approach to understanding human behavior, several personality structures are proposed. To account for the observations just described, he developed the concept of a *superego*, which we may roughly compare to the conscience. Freud theorized that the superego developed fairly early in life, around age five or six, when the child identified intensely with the parent of the same sex as a way of resolving the famous Oedipal complex (based on unconscious feelings of sexual attraction for the parent of the opposite sex). By making the values of the same-sex parent his or her own, a child acquires a sense of right and wrong, as well as other values held by that parent, and a strengthened sense of sex-role identity. Young boys increase their sense of masculinity and young girls their sense of femininity. In Freud's view, an individual's basic personality, including the superego, is primarily determined by early childhood experiences.

What evidence exists for the Freudian approach to moral development? If Freud were right, then we would expect to see a dramatic change around age five or six from little or no morality to an almost adult-like morality. But neither our experience nor scientific research provides evidence for such a dramatic change. A more subtle check on Freud's theory can be made by comparing the processes of moral development and the establishment of sex-role identity. If Freud were right, we should expect these processes to develop in parallel fashion. Moral people should have clear sex-role identities and immoral people should have poorly defined sex-role identities. Again, there is no evidence that this is the case. Thus, Freud may have provided a useful concept in the form of the superego as a means to help us label and communicate about the conscience, but it appears that Freud's theory is not well supported by independent evidence. This lack of support for moral development early in life is important to the organizational leader. If moral development is a continuing process, then the leader may be able to foster moral development among organizational members.

The Cognitive Approach to Moral Development

We all know people whom we describe as very moral and others whom we consider less moral. We also know that people who engage in moral behavior, such as telling the truth, may give different reasons for doing so. For example, one person may explain that he or she

⁹⁰ Hall, C.S. & Lindsey, G., *Theories of Personality*, 2d Ed. (New York: John Wiley & Sons, 1970).

told the truth “so that I wouldn’t get in trouble.” Another person might explain telling the truth by maintaining that “if I didn’t tell the truth, I would lose the respect of others when they found out.” Lawrence Kohlberg of Harvard has taken the observations, that people appear to be at different stages of moral development and that the reasons people give for their behavior may differ, and has attempted to create a cognitive-developmental theory of individual moral development.

According to Kohlberg, there are six different stages of moral development as shown in Figure 56.⁹¹ Each stage is characterized by a typical way of moral reasoning.

Figure 56. Kohlberg’s Stages of Moral Development

Level	Dominant Theme When Reasoning About a Moral Choice	
<p>Level 1</p> <p><i>Preconventional</i> (Children, a few adults)</p>	<ul style="list-style-type: none"> • Stage 1 • Stage 2 	<ul style="list-style-type: none"> • Fear of punishment • Opportunistic—“What’s in it for me?”
<p>Level 2</p> <p><i>Conventional</i> (Most adults)</p>	<ul style="list-style-type: none"> • Stage 3 • Stage 4 	<ul style="list-style-type: none"> • Good boy-nice girl—“Will people think well of me?” • Law and order—“Can’t break the rules.”
<p>Level 3</p> <p><i>Post-conventional</i> (A few highly developed adults)</p>	<ul style="list-style-type: none"> • Stage 5 • Stage 6 	<ul style="list-style-type: none"> • Social contract—“The greatest good for the greatest number. Laws should generally be followed, but there are exceptions.” • Universal ethical principles—there are a few basic moral principles that apply in all situations, e.g., life, liberty, human rights, respect for the dignity of man—irrespective of specific laws or rules.

In stage 1 (preconventional), moral reasoning is very primitive and for the most part based on avoiding punishment. In the second stage (preconventional), morality is still very self-centered. The individual follows rules, for example, not just to avoid punishment but because it is in his or her interest to do so. In stages 3 and 4 (conventional), the person begins to consider relationships with others as important in moral reasoning. In stage 3, morality is based on a desire to win approval from others; while in stage 4, there is more awareness of an obligation to live up to one’s word, to do one’s duty, and to help maintain the social system. In the fifth stage (post-conventional), a person becomes more aware that while it is well to

⁹¹ Adapted from Lawrence Kohlberg, “Moral Stages and Moralization,” in *Moral Development and Behavior*, ed. Thomas Lickona. Copyright © 1976 by Holt, Rinehart and Winston, Inc. Reprinted by permission of CBS College Publishing.

live up to the rules of society, there are a variety of possible value systems. There is greater sensitivity to deciding what the rules should be in the first place. Finally, in stage 6 (post-conventional), the individual operates from a set of universal moral principles that guide moral judgments and that may even conflict with existing societal values.

According to Kohlberg, this sequence is fixed and develops over time from one stage to the next as our capacity for moral reasoning increases. We may also become fixated at any stage if development ceases. Typically, the majority of our moral reasoning is centered on one level at a time, although sometimes our moral judgments are made from or higher levels as well. Intelligence as well as social influences help to determine the level of moral reasoning we attain. One important social influence is our capacity to understand another person's point of view. As this capacity increases, so does our potential for higher levels of moral reasoning.

Notice that Kohlberg's theory has as its most essential characteristic the quality of the moral reasoning process. This means that it is the thought process behind moral behavior that determines whether the person is moral rather than the behavior itself. For example, two students may refrain from taking advantage of an opportunity to submit someone else's work as their own. One may choose to not do so because he or she fears punishment. The other may choose to not do so on the grounds that truth telling is a high ethical principle, and therefore, a written submission should truly be one's own and not a misrepresentation of ideas taken from someone else. Both people behave in the same way and yet the reasons differ, reflecting different stages of moral development.

Development from one stage to the next appears to depend upon both the maturation process and the quality of one's experiences. New experiences and challenges to one's moral reasoning framework have been shown to lead to the development of higher levels of reasoning ability in children.⁹² There is also evidence to support Kohlberg's assumption of a progression of moral development with age through a fixed sequence of stages.⁹³

What are the implications of Kohlberg's approach to moral development for the organizational leader? This approach would suggest that moral development is something that can be influenced, although Kohlberg is not especially clear about how this can be done. Kohlberg also has little to offer concerning the question of what specific moral actions people will choose, even for people at the same level of moral development. Further, he recognizes that situational factors will influence the actions that are taken as a result of moral reasoning. That is, a moral person may act differently in one set of circumstances than in another, even though there may be a highly developed thought process that precedes moral conduct in each case. In this regard, Kohlberg is similar not only to the next approach to moral development that we will consider, Social Learning Theory, but also to the approach of some moral philosophers who apply abstract moral principles in specific situations.

The Social Learning Approach to Moral Development

Social Learning Theory is a general approach to understanding how we learn, retain, and eventually choose to perform or not perform any given class of behavior—including moral behavior. In contrast to Freud and Kohlberg, social learning theorists such as the social

⁹² Tunel, E., "Developmental Processes in the Child's Moral Thinking," in *Trends and Issues in Developmental Psychology*, eds. Mussen, P., Langer, L., & Covington, M. (New York: Holt, Rinehart and Winston, 1969).

⁹³ Kohlberg, L., *The Development of Children's Orientation Toward a Moral Order: 1. Sequence in the Development of Moral Thought* (Vita Humana, 1963), 6, pp. 11-33.

psychologist, Albert Bandura,^{94, 95} have generated considerable evidence for how situational variables can influence what we do in specific situations calling for ethical choices. Indeed, the fundamental approach of social learning theorists is based on the recognition that behavior is in large measure determined by situational factors outside the individual. However, the individual is not overlooked and is given a central role in processing the components of the situations in terms of perception, reasoning, memory, and other internal psychological responses.

The key features of the social learning approach to learning moral behavior are conditioning and imitation. For example, a young child may be punished for some wrongdoing such as stealing money. The child is scolded, perhaps spanked, told to return the money and made to feel bad by the experience of anxiety and guilt brought on by the punishment received for the unacceptable action. Through this conditioning experience, the experience of negative feelings becomes associated with stealing; a behavior that is then subsequently inhibited. This is called conditioning.

An even more powerful way of learning moral behavior is through the process of observing others. We learn not only appropriate or inappropriate actions but also what consequences are associated with those actions. As a result of watching others tell the truth, we may learn, for example, that telling the truth is valued and rewarded by powerful figures such as parents or teachers. We are then capable, through our own psychological processes, of imagining ourselves engaging in similar behavior under similar circumstances and expecting similar consequences, without ever performing the behavior ourselves. This makes observational learning leading to imitation (or inhibition of observed behavior if the model is punished) unique and different from conditioning, in which direct experience is our teacher.

What determines whether or not we learn by observing others? Bandura describes a four-stage process in which we attend to actions of others, retain the observed information, are motivated to perform or not, and behave.⁹⁶ Whether we are influenced by others depends upon whether or not we pay attention to them in the first place. Certain characteristics of models make us more or less likely to notice them and observe their actions. Status, power, control over rewards and punishments, and similarity between model and observer are all factors that make us likely to observe a model. Parents, teachers, peers, and coaches are all examples of possible models from whom we might learn. How would an organizational leader influence our attention as a model in terms of the characteristics just described?

We retain information about two aspects of observed behavior. First, we remember what was done. Second, we remember what happened to the model. Assuming we are capable of performing an observed behavior that is rewarded, what determines whether we will engage in that behavior in some future situation? When the rewards that a model received are perceived as rewarding, and we expect that there is a good chance of receiving similar rewards, then we are likely to engage in behavior similar to that which we observed the model perform. Similarly, we tend to inhibit behaviors that are similar to those of a model when the model is treated in a way that we would consider punishing.

Evidence for this social learning point of view is found in several studies relevant to moral behavior. The behavior of models and the consequences of the models' actions have

⁹⁴ Bandura, A., *Social Learning Theory* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1977).

⁹⁵ Bandura, A., *Aggression: A Social Learning Analysis* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1973).

⁹⁶ Bandura, *op. cit.*, 1977.

been shown to influence not only moral reasoning^{97, 98} but also socially acceptable behavior.^{99, 100} The influence of model characteristics has been demonstrated by other researchers who showed that children imitate adult models who are powerful and rewarding but fail to imitate adults who are low on these attributes.¹⁰¹

It may be argued that instilling ethical standards and changing values is not the business of the organization but the task of such institutions as the family, school, and church. But surely it could also be argued that the organization would be better served if it could foster the further moral development of its members and reinforce the basic ethical standards that individuals bring to the organization. Of the three approaches to moral development that have been presented, social learning theory with its emphasis on learning by observing others appears to have considerable relevance for the organizational leader in this regard. Figure 57 contains a summary of the key features of each approach. Of special interest is the section on implications for the leader in the organization. In essence, the leader can influence the moral conduct of others by demonstrating the desired behavior, rewarding ethical behavior and punishing unethical conduct and through the use of several other organizational processes which we shall discuss later in this chapter

Figure 57. Comparison of the Three Major Theories of Major Development

⁹⁷ Bandura, A. & McDonald, F.J., "The Influence of Social Reinforcement and the Behavior of Models in Shaping Children's Moral Judgments," *Journal of Abnormal and Social Psychology*, (1963), 67, pp. 274-281.

⁹⁸ Prentice, N.M., "The influence of live and symbolic modeling on promoting moral judgment of adolescent delinquents," *Journal of Abnormal Psychology*, (1972), 80, pp. 157-161.

⁹⁹ Bryan, J.H. & Test, M.A., "Models and Helping: Naturalistic Studies in Aiding Behavior," *Journal of Personality and Social Psychology*, (1967), 6, pp. 400-407.

¹⁰⁰ Staub, E., *The Development of Prosocial Behavior in Children* (New York: General Learning Press, 1975).

¹⁰¹ Mischel, W. & Grusec, J., "Determinants of the Rehearsal and Transmission of Neutral and Aversive Behaviors," *Journal of Personality and Social Psychology*, (1966), 3, pp. 197-205.

	PSYCHOANALYTIC (FREUD)	COGNITIVE-DEVELOPMENTAL (KOHLBERG)	SOCIAL LEARNING (BANDURA)
BASIC EMPHASIS	FEELING (CONSCIENCE, GUILT, REMORSE)	THOUGHT (QUALITY OF MORAL REASONING, STAGES)	BEHAVIOR (INFLUENCE OF MODELS AND THE SITUATION, REWARDS, PUNISHMENTS, EXPECTATIONS)
HOW MORALITY IS ACQUIRED	FORMATION OF A SUPEREGO BY INTERNALIZING PARENTAL VALUES	THROUGH INVARIANT STAGES OF INCREASED CAPACITY FOR REASON BASED ON INTELLIGENCE AND EXPERIENCE	LEARNING THROUGH OBSERVATION OF OTHERS, REWARDS AND PUNISHMENTS
PRINCIPAL AGENTS OF SOCIALIZATION	PARENTS (ESPECIALLY SAME-SEX PARENT)	PEOPLE WHO ARE AT A HIGHER STAGE	ANY SIGNIFICANT MODEL (PARENT, PEERS) OR PERSON WHO CONTROLS REWARDS AND PUNISHMENTS
RESEARCH SUPPORT	SLIGHT	MODERATE	STRONG
IMPLICATIONS FOR ORGANIZATIONAL LEADER	LEADERSHIP EXERTS LITTLE INFLUENCE EXCEPT THROUGH SELECTION	LEADERSHIP INFLUENCES STAGE OF DEVELOPMENT THROUGH INCREASING CAPACITY FOR MORAL REASONING, E.G., EDUCATION	LEADERSHIP INFLUENCES MORAL BEHAVIOR DIRECTLY BY EXAMPLE, COMMUNICATION OF EXPECTATIONS AND CONSEQUENCES, CONTROL OF REWARDS AND PUNISHMENTS

The Ethical Responsibility of the Leader

Many students of organizations have stressed the importance of the leader's ethics. Chester Barnard, the noted management theorist, not only emphasized the requirement for moral behavior by organizational leaders but also saw the responsibility of the leader in influencing the moral behavior of others as "the distinguishing mark" of leadership and executive responsibility.¹⁰² One component of leader effectiveness is influencing followers by various means, one of which is persuasion. Students of interpersonal influence have found that an important aspect of effective, persuasive communications is the credibility of the communicator or leader.^{103, 104} Credibility implies that words and actions are congruent—a part of being ethical. Personal integrity was also cited as a desirable leadership attribute in theorist Ralph Stogdill's landmark review of the leadership literature.¹⁰⁵ Theorists studying leadership in police organizations have also considered the development and maintenance of

¹⁰² Barnard, C.I., *The Functions of the Executive* (Cambridge, Mass.: Harvard University Press, 1968), p. 279.

¹⁰³ Hovland, C.D., Janis, I.J., & Kelley, H.H., *Communication and Persuasion* (New Haven, Yale University Press, 1953).

¹⁰⁴ Zimbardo, P.G. & Ebbeson, E.B., *Influencing Attitudes and Changing Behavior* (Reading, Mass.: Addison-Wesley, 1969).

¹⁰⁵ Stogdill, R.M., *Handbook of Leadership: A Survey of Theory and Research* (New York: The Free Press, 1974), pp. 52, 75, 93, 96.

ethical standards to be a key leadership dimension.¹⁰⁶ They have noted that the leader's ability to influence moral behavior among employees is usually greater for top-level leaders who are an important source of ethical standards for departmental leaders at intermediate levels.

Organizational Leaders and Trust

In addition to the important role the leader plays in influencing other organizational members, he or she also bears a responsibility and obligation that is based upon the trust granted by those who appointed him or her as an organizational leader. These may be the selected representatives of investors in the private sector or the elected representatives of society in the public sector. In the private sector, selected directors appoint managers in corporations who are entrusted with the economic treasure of the investors. To carry out the duties of an executive branch in the public area, the government appoints chiefs of police, directors, and administrators as agents who in return, promote others who may be entrusted not only with economic resources but also with the lives and property of members of society.

Not only does the leader affect the moral behavior of others, but when the leader is an appointed or elected official of a federal, state, or local law enforcement agency, he or she is expected to behave morally and is charged with doing so by law under the terms of appointment in which a special trust is extended until such time as it may be broken or revoked.

There are also officers in business corporations. Attorneys admitted to the bar are officers of the court or of the law, and the faculty of institutions of higher learning function as officers. All have similar decision making prerogatives and responsibilities with varying levels of finality and authority. All executives and officers exercise moral judgment and take moral action but none, with the exception of the judge who may impose a death sentence, bears the responsibility for moral action under life-and-death circumstances in the way police leaders are charged. By virtue of the appointment and the nature of the endeavor, police leaders have ethical responsibilities of the gravest kind. The leader of a police organization that society has created has a moral obligation that stems directly from the purpose that makes the police legitimate as an institution within society. That moral purpose is the defense and preservation of the values and freedoms embodied in our culture and social institutions. It is in the defense of society's values that we are justified in using force to take human life and take away a person's personal freedom. For organizations in the private sector, it is perhaps less easy to establish an ethical basis that would make it imperative for the organizational leader to create an ethical climate. It may be argued, for example, that the business of business is to make profits and that when business thrives, society thrives. But, as we discussed in the chapter on Organizational Leadership and the External Environment, there may be limits as to how the corporation increases its wealth at the expense of other subsystems of society.

¹⁰⁶ Clement, S.D. & Ayers, D.B., "A Matrix of Organizational Leadership Dimensions," Leadership Series, Monograph No. 8, (Indianapolis: U.S. Army Administration Center, 1976).

The seriousness and the depth of the moral obligation of the police leader is further strengthened because it is based upon a commitment that is freely given. In an excellent discussion of ethics and military leadership from a philosophical point of view, Colonel Malham Wakin, USAF, demonstrates that taking the oath of office “generates one of the strongest moral claims against the person who gives it” because it is a freely given commitment.¹⁰⁷ The oath of office taken by each police officer in police services in this country includes an acknowledgement that officers “take this obligation freely, without any mental reservation or purpose of evasion.” (See Figure 58: Law Enforcement Code of Ethics and the Law Enforcement Oath of Honor.) Wakin also reminds us that the leader who takes lightly the promise “to well and faithfully discharge” his duties, “may do many things well but he will not command the respect or loyalty of his subordinates.”¹⁰⁸ The great Englishman, Sir Thomas More, reminds us of the consequences for failure to keep an oath freely given in the following lines from *A Man for All Seasons*: “When a man takes an oath . . . he’s holding his own self in his own hands. Like water. And if he opens his fingers then—he needn’t hope to find himself again.”¹⁰⁹

The Ethic of the Organization

If the organizational leader is of legal and organizational necessity expected to behave morally, where can he or she look for standards of right and wrong (an ethic)? What constitutes moral behavior in an organizational setting? These questions are hardly new. Many students of leadership, moral philosophy, organizational behavior, and the sociology of professions have struggled with them before we have. The difficulty of the search for precise answers to these questions was pointed out recently in an excellent analysis of the problem of ethics and organizations conducted by the U.S. Army. As stated in that analysis, “the difficulty arises because the domain of ethical behavior has yet to be described.”¹¹⁰ Extreme behaviors are easy to classify as moral or immoral. But there is a gray area that is murky and difficult to classify between the extremes. Nonetheless, the U.S. Army study cited above attempted a definition of ethics in an organizational setting as follows:

Ethics, in an organizational context, comprises a set of behavioral standards, expressed as norms, principles, procedural guides, or rules of behavior, defining what is appropriate (right) and inappropriate (wrong). Grounded in a system of values and moral principles, these behavioral standards are commonly understood and generally accepted by group members as legitimate and purposeful guidelines for directing personal and professional conduct within an organizational setting. Subject to different degrees of sanctioning, standards of ethical behavior make group functioning more effective and guide the process of decision-making. Ethical standards in an organization are adhered to because (a) they are considered legitimate and practical and are consequently internalized as having useful authority over behavior (in this

¹⁰⁷ Wakin, M.M., “The Ethics of Leadership,” in *War, Morality, and the Military Profession*, ed. M. Wakin (Boulder, Col.: Westview Press, 1979), p. 206.

¹⁰⁸ *Ibid.*

¹⁰⁹ Bolt, R., *A Man for All Seasons* (New York: Vintage Books, 1962), p.81.

¹¹⁰ Ayres, D.B. & Clement, S.D., “A Leadership Model for Organizational Ethics,” Leadership Series, Monograph No. 13, (Indianapolis: U.S. Army Administration Center, 1978), p. 17.

regard, conscience and guilt internally reinforce adherence); or (b) they are enforced by threat or use of punishment and other external sanctions. Any violation of these standards constitutes unethical behavior.¹¹¹

¹¹¹ *Ibid.*, pp. 16-17.

Figure 58. The Law Enforcement Code of Ethics

The “Law Enforcement Code of Ethics” contains the values that guide the conduct of professional police officers worldwide. It provides solid footing to set clear guidelines for our personnel.

Law Enforcement Code of Ethics

As a law enforcement officer, my fundamental duty is to serve mankind to safeguard lives and property; to protect the innocent against deception, the weak against oppression or intimidation, and the peaceful against violence or disorder; and to respect the Constitutional rights of all men to liberty, equality, and justice.

I will keep my private life unsullied as an example to all; maintain courageous calm in the face of danger, scorn, or ridicule; develop self-restraint and be constantly mindful of the welfare of others. Honest in thought and deed in both my personal and official life, I will be exemplary in obeying the laws of the land and the regulations of my department. Whatever I see or hear of a confidential nature or that is confided to me in my official capacity will be kept ever secret unless revelation is necessary in the performance of my duty.

I will never act officiously or permit personal feelings, prejudices, animosities, or friendships to influence my decisions. With no compromise for crime and with relentless prosecution of criminals, I will enforce the law courteously and appropriately without fear or favor, malice or ill will, never employing unnecessary force or violence and never accepting gratuities.

I recognize the badge of my office as a symbol of public faith, and I accept it as a public trust to be held so long as I am true to the ethics of police service. I will constantly strive to achieve these objectives and ideals, dedicating myself before God to my chosen profession...law enforcement.

The International Chiefs of Police adopted this code of ethics in 1956.

LAW ENFORCEMENT OATH OF HONOR

On my honor, I will never betray my ____ (1) ____, my integrity, my character, or the public trust. I will always have the courage to hold myself and others accountable for our actions. I will always uphold the ____ (2) ____, my ____ (3) ____, and the agency I serve.

- (1) Insert appropriate term such as: badge, profession, or country.
- (2) Insert appropriate term such as: constitution, laws, or monarch.
- (3) Insert appropriate term such as: community, country, or nation.

This definition suggests at least two sets of factors that influence the formation of an ethic for an organization. One is a larger set of values and moral principles that are derived from contemporary society and the needs, values, beliefs and norms of that society. This first set of influences has been addressed earlier, in the lesson on Organizational Leadership and the Environment. The second set of influences is inherent in the functions of a particular organization. We will examine what this means from the standpoint of police organizations in the next section.

To review, a police organization is founded on a functional imperative—to protect and serve citizens’ quest for quality of life, free from fear, with democratic values applied equally to all citizens. Everything the police organization does is to be based upon the concept of service to society. Police leadership has a moral and a legal responsibility to lead the police organization in service to society. It is service to society that makes it legitimate to organize, train and use police services in ways that may involve the taking of human life and the taking away of personal freedom.

The Ethic of the Policing Profession

In addition to their membership in a particular department, police officers are members of a *profession*, which is a formal association that is defined by a unique expertise, a responsibility to society, and a sense of corporateness.¹¹² In application to the police organization, the policing profession can be defined as follows. Police organizations’ expertise focuses on the management of force to protect life and property. In order to protect these two things, the policing profession has the awesome power to take life and freedom. As implied by the unique nature of their expertise, the policing profession is first and foremost responsible to society. Police organizations exist to protect and serve society. Moreover, society provides the manpower and funds to support this goal. In terms of the corporate character of police leadership, there are several aspects to consider. To begin with, there is a legal authorization to practice leadership that limits and controls entry into the ranks of leadership through appointment by promotion. Police agencies are organized as a bureaucratic profession based on a hierarchy of rank, and the leaders wear a uniform that visibly reflects their position. In addition, formal pre-professional and professional educational requirements and specialized training further govern admission to the profession and the advancement of officers. Finally, the corporate character is defined by a shared professional ethic, along with self-criticism.

The starting point of a professional military ethic, according to noted political scientist Samuel P. Huntington, is the aforementioned functional imperative—service to the state at the risk of one’s life. The same holds true to police service. In order to render effective service, both military and police organizations must be hierarchically organized. To achieve its limited purposes and to perform its function for the state, “each level within it must be able to command the instantaneous and loyal obedience of subordinate levels.... Consequently, loyalty and obedience become the highest military and policing virtues. When the military man or woman, or a police officer, receives a legal order from an authorized superior...he or she obeys instantly.”¹¹³ From this we can see that obedience is a highly placed instrumental value for the profession as a whole and particularly for the military

¹¹² Huntington, S.P, *The Soldier and the State* (New York: Vintage Books, 1957).

¹¹³ Huntington, *op. cit.*, p. 73.

officer corps and the police leadership. But what if the political purpose for which force is required is suspect? Huntington's position is rather absolute: "If the king's cause be wrong, our obedience to the king wipes the crime of it out of us."¹¹⁴

Conflict of Values and the Professional Ethic. Are there no limits to obedience for the police professional? When obedience conflicts with other virtues, how are such conflicts to be resolved? To what extent is Huntington's view tenable in light of the judgments passed on military issues at Nuremberg and Tokyo after World War II and later in the Eichman case and after My Lai, where leaders were found guilty although "carrying out orders" of higher authority? Huntington addresses several cases of conflict involving obedience. According to Huntington, a follower may question an operational order but must obey on the grounds that the superior possesses a greater competence and knowledge of the situation.¹¹⁵ As discussed in the lesson on Socializing Individuals into Groups, in the case of a conflict between conformity and innovation the creative follower may, albeit at some risk, persist in disobedience in the interest of increased competence for the profession.

Wakin probably understates the effects of an organizational hierarchy when he further observes that "the structure of an institution which depends critically on the acceptance of obedience as one of its highest values may place a strain on the moral integrity of its members."¹¹⁶ The organization needs and, under most circumstances, demands a high degree of obedience from its members. However, there are universal moral obligations governing human action in the larger society that the organization, through its leaders, should seek to observe. These universal moral obligations include such actions as truth-telling, promise-keeping, preservation of life, and respect for the property and rights of others. Conflicts between external moral obligations and institutional needs require effective leadership and individual as well as professional compromise. What are we to do when our professional ethical obligations conflict with universal moral obligations, as in the case of killing others to defend the society? As police leaders, there is no choice but to obey legal orders from legitimate authority. When orders are illegal or when they violate the dictates of personal conscience, then we can and must disobey. In fact, we may have an obligation to do so, according to one officer:

Military or (police professionalism) does not require the abdication of moral responsibility. It does require as a practical matter that a person's moral judgments be reconciled with service to the state if he is to serve it in a professional capacity. Only the person himself can determine this.... The individual cannot avoid it. He is a human being first, a professional second.¹¹⁷

Returning to our starting point, the officer/leader is responsible for adherence to the ethic upon which the profession rests. Moral behavior of organizational members is the responsibility of both the leader and the individual and may be influenced directly by the leader. Loyalty and obedience are important police virtues under the professional ethic that

¹¹⁴ *Ibid.*

¹¹⁵ *Ibid.*, p. 75.

¹¹⁶ *Ibid.*, p. 211.

¹¹⁷ Bradford, Z.B., Jr., "Duty, Honor and Country vs. Moral Conviction," *Army*, 18-9, (1968), pp. 43-44.

the leader seeks to inspire. The organizational and professional ethical requirements may conflict with higher moral principles and individual conscience.

An Experimental Study of Ethical Conflict. Just how difficult it may be to resolve a conflict between obedience to authority and other values has been pointed out in dramatic fashion by a series of experiments in social psychology. Originally interested in exploring the idea that the reason Germans were obedient to Hitler and the horrors of his Third Reich was due to something in the character of Germans, Stanley Milgram discovered instead the power of situational factors that exert great influence on obedience in all societies. An analysis of these controlling forces indicates that they are probably present in abundance in most formal organizations and especially in a hierarchical organization such as the military.

Milgram set up a laboratory experiment to study obedience to authority.¹¹⁸ The actual purpose of the study was disguised by presenting it as an experiment to study the effects of punishment on learning. The experimental subjects were asked to administer a series of electrical shocks to another person—the learner. As the learner failed to recall certain word pairs, the intensity of the shock would be increased until a maximum of 450 volts was reached. Milgram, and a group of psychiatrists with whom he consulted, had expected that most people would not go very far in administering shocks to the learner. (In reality, the learner was a stooge of the experimenter and was not being shocked at all. However, the experimental subjects believed they were in fact shocking another person). The experimental procedure was set up so that subjects could hear the screams and protests of the learner as they administered shocks. Although there were some variations, the situation was basically one in which the experimenter was present with the experimental subject and gave orders to the subject to continue administering progressively higher shocks when the learner failed to respond properly. Contrary to the predictions, sixty-two of the subjects went all the way to 450 volts! Although the subjects protested, were tense, and agonized—they went on. They obeyed.

Why people obeyed Milgram's experimenters is perhaps best explained by several important situational variables. The first of these is the presence of a legitimate authority. In this case it was the experimenter—a scientist in a white lab coat. Obedience dropped off considerably when the experimenter was not physically present with the subject. The social distance of the victim was also an important variable. When the subject did not see the victim (or learner), obedience was greater than when the victim was present. There was an important social norm or expectation that was operating in these studies as well. It was being done in the interest of science; it was necessary. The subject was also “subordinate” to the more knowledgeable scientist.

The effects of Milgram's experimental situation were so powerful and so contrary to what most of us hold about human behavior that the results were profoundly disturbing to many. Milgram himself has stated that his findings were so astounding that he has been forced to make a painful alteration in his thinking:

With numbing regularity, good people were seen to knuckle under the demands of authority and perform actions that were callous and severe. Men [later experiments showed the same behavior in women] who are in everyday

¹¹⁸ Milgram, S., “Some Conditions of Obedience and Disobedience to Authority,” *Human Relations*, (1965), 18, pp. 57-75.

life responsible and decent were seduced by the trappings of authority, by the control of their perceptions, and by the uncritical acceptance of the experimenter's definition of the situation into performing harsh acts.¹¹⁹

Extending his own analysis, Milgram asked an ominous question: If decent citizens of a democratic society will so readily follow the commands of an experimenter whom they are free to disobey at any time, how much more likely are they in real life situations to obey the force of authority such as government with all its legitimacy and power to bring sanctions against disobedience?¹²⁰ When confronted with a moral conflict such as that facing the participants in illegal, unethical, or immoral activity, is it really surprising that obedience is the rule rather than the exception?

Figure 59. The Exception

One of the greatest ethical failures in American military history, the so-called My Lai massacre, occurred during the Vietnam war. Poorly led U. S. soldiers killed several hundred unarmed old men, women, and children who offered no armed resistance when the Americans entered their village on March 16, 1968. Not only did the soldiers commit atrocities, senior officers deliberately covered up the event until it was exposed over a year after it happened by a courageous young enlisted soldier named Ron Ridenhour who had joined the unit after the soldiers committed their war crimes. Unable to get the Army to look into the stories he heard from those who had been at My Lai, he wrote a letter to Congress asking for an investigation into this event that troubled him so much though he had not been a participant. As a college student before he was drafted into the Army, Ronald Ridenhour had walked out on the experimenter in an obedience study at Stanford that was based on Milgram's methodology.¹²¹ He had been unwilling to administer even a single shock! Referring back to Kohlberg's levels of moral development, what stage would you say is most characteristic of Ronald Ridenhour, based on what we know of him? How would you explain this seemingly unusual behavior?

¹¹⁹ *Ibid.*, p. 74.

¹²⁰ *Ibid.*

¹²¹ Zimbardo, P., *Psychology and Life*, 10th ed. (Glenview, Ill.: Scott, Foresman & Co., 1979), pp. 53-54.

There is one important modification of Milgram's findings that is of importance to the organizational leader. In later experiments, researchers studied the effects of allowing subjects to observe disobedient models.¹²² When others who disobey the experimenter are observed, ninety of the experimental subjects also disobey, refusing to shock the learner. However, given the findings of the initial studies, what would lead the first person to disobey and thereby provide a model for others? How likely is this to happen if the experimenter does not arrange it? Rare indeed has been the case in any of the many replications of Milgram's studies that a subject refused to administer even one shock.

If it is difficult to maintain one's integrity in an extreme situation involving a clear conflict between moral virtues, such as the killing of civilians at My Lai during the Vietnam War, what can we expect when organizational members are confronted with moral conflicts of lesser magnitude?

Organizational Influences on Moral Behavior

Thus far, we have considered several sources of influence on the moral behavior of organizational members, including the development of the individual as a moral person through the influence of society and a professional ethic to which the police leader must adhere. Individuals usually do not act alone or independently. Their actions usually are influenced to a considerable extent by the social setting in which they interact with other people. How does the social system of an organization impact upon the moral behavior of its members?

The Leader as an Ethical Role Model

The first and perhaps most important organizational influence on the moral behavior of organizational members is the behavior of organizational leaders. This point was established earlier, but it is of sufficient importance to be restated and emphasized. As the authors of an earlier work on leadership in the military pointed out, "the status of leadership confers inescapable moral responsibility for setting the example for the group. The example the leader sets goes far toward determining the actual attitude and behaviors of the group—further, in fact, than verbal or written instructions."¹²³ Bandura's Social Learning Theory provides a framework that helps us understand why the leader's example is a powerful influence on the moral behavior of others. In referring to such influence on others we may refer to the leader as a role model.

The influence of role models is exerted in many ways. Role models demonstrate behavior that contains several kinds of information for the observer. The first is information about how to behave. A follower may thus learn new behavior by observing the leader. The behavior of the role model may also serve to tell the observer what behavior is appropriate under which circumstances. If the leader (model) is rewarded or not punished for specific acts, this may be taken as a cue by the observant follower that the role model's behavior is desirable or at least acceptable in that situation. Similarly, if the role model is punished, the observer may learn to inhibit such behavior.

¹²² Rosenhan, D.R., cited as personal communication in Zimbardo, P., *Psychology and Life*, 10th ed. (Glenview, Ill.: Scott, Foresman & Co., 1979), p. xxxviii.

¹²³ Hayes, S.H. & Thomas, W.N., *Taking Command* (Harrisburg, Pa.: Stackpole Co., 1967).

Organizational Rewards and Punishments

Organizational leaders have the power to reward and punish their members for acceptable and unacceptable behaviors. Psychologists have provided abundant evidence for the effects of rewards and punishments on behavior. Thus the behavior of organizational members can be shaped by direct experience of the consequences of their actions. Leaders usually control and are responsible for using organizational rewards and punishments to influence behavior. Therefore, leaders influence us not only as we observe their behavior and the consequences of their actions but also as we experience the consequences they apply to others as well as to our own behavior. Failure to punish unethical behavior may send a powerful message about what is acceptable within an organization, especially if the offender is a leader. While it is desirable to do so, it may be difficult to reward ethical behavior because it is the moral failures that are more likely to come to our attention. In the ideal case, ethical behavior should be recognized and unethical behavior punished—not just for the effects on the actor but also for the effects on others in the organization who may be influenced by the consequences they observe others experiencing.

Communication and Expectations

Leaders communicate what is expected of followers through directives, policies, and verbal interactions. Many students of organizations have provided support for the importance of the expectations that are communicated within the organization, especially when members are new.^{367, 368, 369} During the socialization process, an organizational member is anxious and receptive to the expectations of the organization. The perceptual processes of other followers, however, filter the expectations of leaders. These perceptions are reflected in such phrases as “What the boss really wants is...” or “What you’ve really got to do to get ahead around here is....” Because of this filtration process, after the leader has initially conveyed expectations, both the leader and follower may need to discuss these expectations again to ensure mutual clarity.

Organizational Climate and Ethical Choices

The Effect of Stress. Stress, both organizational and individual, also may affect moral behavior. As we have seen in the lesson on stress management, under high stress conditions both performance and judgment may suffer. Among the more important stressors operating on moral behavior are role overload and role conflict. When we are given too many things to do, insufficient resources to do the task, or unrealistic deadlines, we may be faced with circumstances that increase pressure on us to cut corners or to violate our own ethical standards and values. We may also experience conflict between a directive from a leader and our assessment of its impact on our employees and ourselves, especially if we are also leaders. When stress is high, this role conflict might be resolved in unethical ways as a means of coping.

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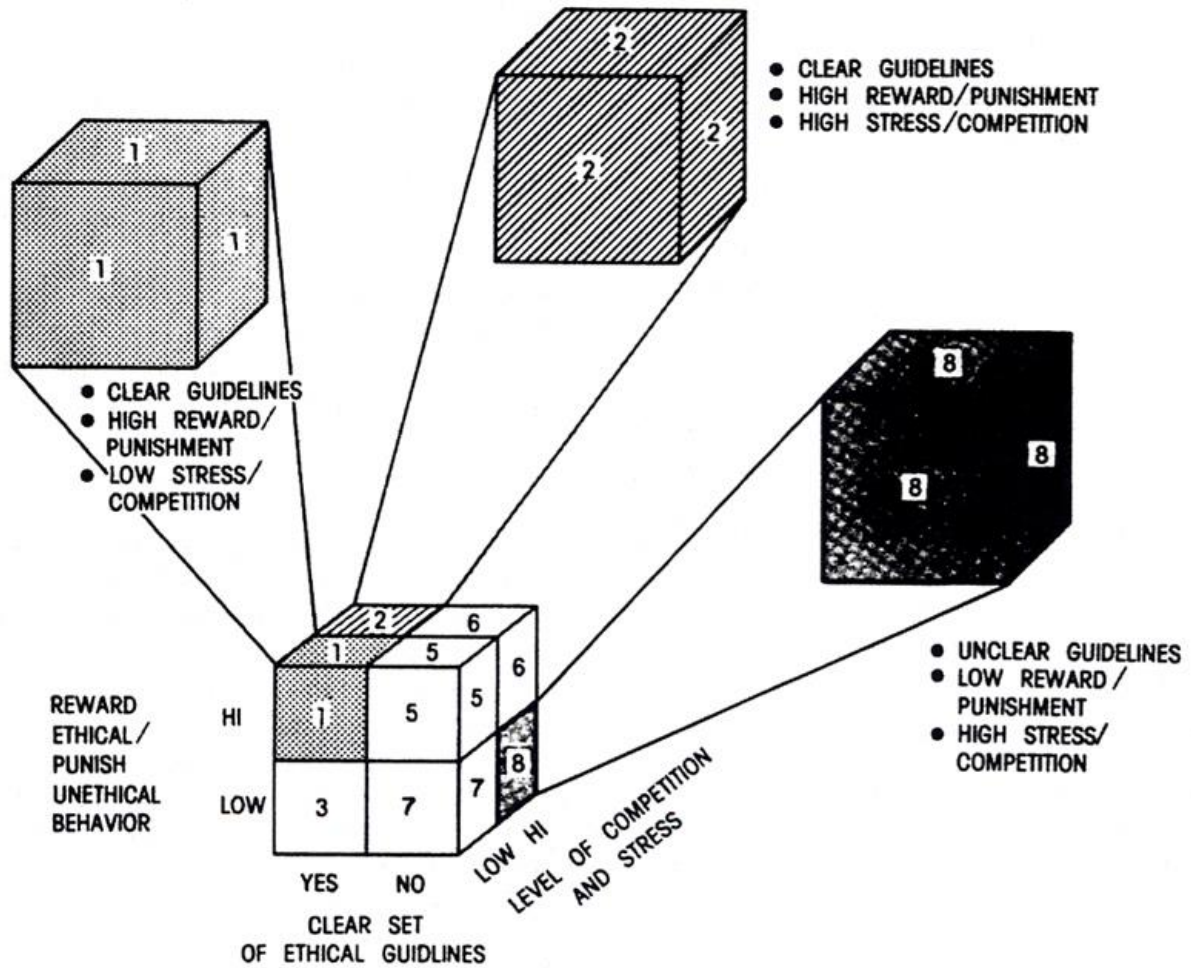
The Effect of Competition. Competition among organizational members and between groups and organizations can lead to increased performance. However, extreme competition, especially when resources or rewards are scarce, also may create pressures leading to the compromise of ethical standards.

The Effect of Norms. Every group and organization develops norms that are both formal and informal. As we saw in the lesson on Individuals in Groups, the norms are often as potent, if not more powerful, in influencing behavior as the formal rules and regulations. These norms may promote moral or immoral behavior depending upon the form they take.

One of the tasks of the organizational leader is to establish and maintain an ethical climate. In order to do this, it is necessary to somehow assess or diagnose an organization in terms of its ethical climate. Using the organizational factors previously discussed, we can construct a model for estimating the potential for unethical behavior in an organization. Three organizational dimensions that may be useful are shown in Figure 60: whether there are clear guidelines as to what is ethical and what is unethical (supported by group norms); whether clear reward and punishment contingencies for ethical or unethical behavior are operative; and whether competition and stress within the organization are high or low. The climate may be considered most healthy (Octant 1) when 1) there are clear guidelines as to what is ethical and what is unethical; 2) ethical behavior is frequently, if not regularly, rewarded and unethical behavior is punished; and 3) the level of competition and stress are relatively low. Even when stress and competition are relatively high, the organization may have a healthy ethical climate (Octant 2) if the first two conditions are present. However, an organization may be in serious trouble if the climate is characterized by high stress and competition, unclear ethical guidelines, and unclear or poorly operating systems of reward and punishment in relation to ethical and unethical behavior (Octant 8). Researchers have recently demonstrated an empirical relationship between the level of honesty, defined in terms of employee theft, and the ethical climate of an organization.¹²⁴ Comparing levels of theft among employees in three retail stores, employees in the company with the lowest theft rate reported a statistically significant higher level of honesty among top management and a more explicit code of conduct within the company.

Figure 60. Assessing the Ethical Climate

¹²⁴ Cherrington, D.J. & Cherrington, J.O., "The Climate of Honesty in Retail Stores," paper presented at the American Psychological Association Annual Meetings, Los Angeles, California, August 1981.



CLEAR SET OF GUIDELINES (NORMS)
 REWARD ETHICAL, PUNISH UNETHICAL BEHAVIOR
 LEVEL OF COMPETITION AND STRESS

ORGANIZATION'S ETHICAL CLIMATE

YES		NO	
HI	LO	HI	LO
LO	HI	LO	HI
1	2	3	4
5	6	7	8

HI LO

The Consequences of Moral Behavior

Individual Consequences

Though we found little utility in Freud's approach to the moral development of the individual from the standpoint of organizational leadership, there is merit in Freud's theory in understanding why moral behavior is desirable at the individual level. The key concept in Freud's theory is the formation of the superego, which controls the individual through the experience of unpleasant feelings. Shame and guilt usually accompany immoral behavior in the normal person. Prolonged or intense guilt and shame can be harmful to mental health. These emotions often lead to feelings of self-doubt, inferiority, worthlessness and, in the

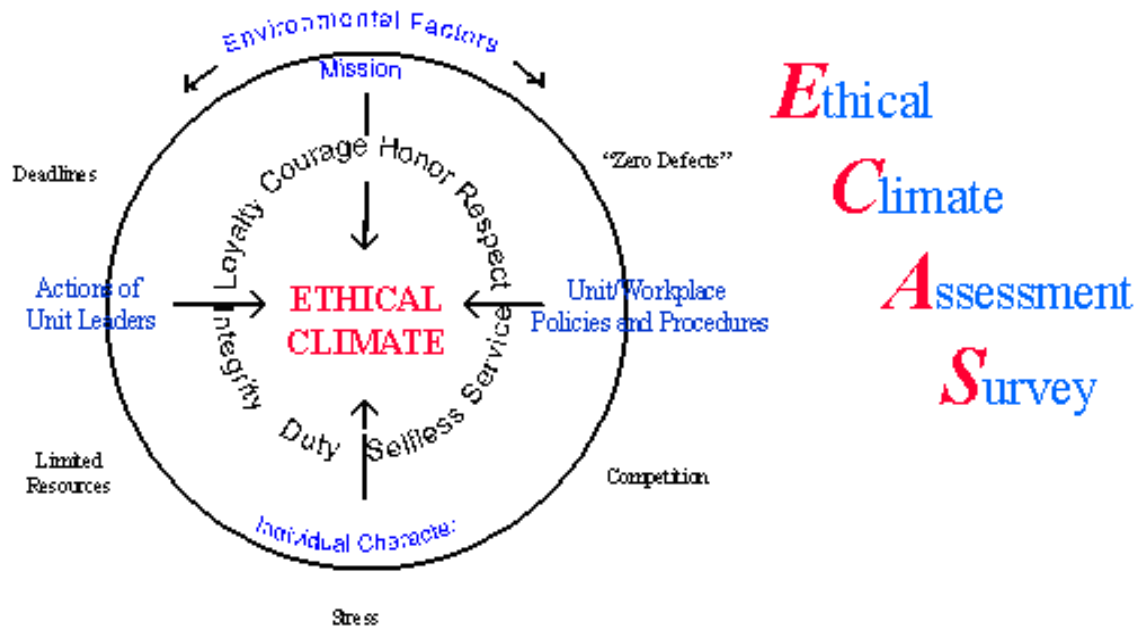
extreme, may even lead to self-destructive behavior such as suicide. Moral action allows us to maintain a level of mental health that is relatively free of shame and guilt. Not only do moral individuals experience better mental health, they usually experience greater trust and freedom from external control than do individuals who are less trustworthy. There also is likely to be intrinsic reward in the form of self-satisfaction for those who consistently engage in moral actions as opposed to unethical practices.

Organizational Consequences

There are also significant benefits to the organization or profession for moral behavior by its members. Members of professions have historically been among society's most admired and respected citizens. They also often receive very comfortable financial rewards along with their social status. Autonomy in providing services typically has been granted by society in return for adherence to ethical standards and dedicated service.

Power, influence, status, autonomy, and financial rewards may all be affected adversely by the perception that an organization or profession has failed to live up to society's expectations by engaging in immoral behavior. Significant breaches of professional ethics, or failure to self-monitor, especially by key leaders or large numbers of members of an organization or profession, may lead to a rapid erosion of public trust and confidence, along with subsequent withdrawal of support and resources and the imposition of greater controls over organizational members by society. In the extreme case, loss of autonomy over the use of expertise may lead ultimately to failure of the organization or profession's capability to meet society's need. It should be pointed out that the survival or welfare of an organization or profession as an end in itself is not the issue here. Rather, it is essential that organizations and professions be able to exercise their expertise in service to society. It is imperative, therefore, to adhere to organizational and professional ethics while striving to live up to society's expectations. Without the appropriate institutions to meet its needs, society itself suffers. If key institutions such as the military and policing fail, society could even face destruction.

Figure 61. Ethical Climate Assessment Survey



A positive **Ethical Climate** is one in which the department’s values are routinely articulated, supported, practiced, and respected. The Ethical Climate of an organization is determined by a variety of factors, including the individual character of unit members, the policies and practices within the organization, the actions of unit leaders, and a variety of environmental and mission factors. Leaders should periodically assess their organization’s Ethical Climate and take appropriate actions, as necessary, to maintain the high ethical standards expected of public service organizations. This survey will assist you in making periodic assessments and in identifying the actions necessary to maintain a healthy Ethical Climate.

INSTRUCTIONS

Answer the questions in this survey according to how you currently perceive your work group or organization and your own leader actions. DO NOT answer these questions according to how you would prefer them to be or how you think they should be. This information is for your use, not your chain of command's, to determine if you need to take action to improve the Ethical Climate in your organization. Use the following scale for all questions in Sections I and II.

Strongly Disagree 1	Disagree 2	Neither Agree nor Disagree 3	Agree 4	Strongly Agree 5
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I. Individual Character – “Who are we?” This section focuses on how committed the members of your organization are to department values. Please answer the following questions based on your observations of the ethical commitment in your unit of assignment.

- A. In general, the members of my unit demonstrate a commitment to department values (honor, selfless service, integrity, loyalty, courage, duty, and respect). _____
- B. The members of my unit typically accomplish a goal or an objective by doing the right thing rather than compromising department values. _____
- C. I understand and am committed to the department's values as outlined in the department's written directives. _____

Section I Total _____

II. Unit/Workplace Policies & Practices – “What do we do?” This section focuses on what you, and the leaders who report to you, do to maintain an ethical climate in your workplace. (This does not mean your supervisors. Their actions will be addressed in Section IV).

- A. We provide clear instructions that help prevent unethical behavior. _____
- B. We promote an environment in which followers can learn from their mistakes. _____
- C. We maintain appropriate, not dysfunctional, levels of stress and competition in our unit. _____
- D. We discuss ethical behavior and issues during regular counseling sessions. _____
- E. We maintain an organizational motto, philosophy, and mission that is consistent with department values. _____
- F. We submit unit reports that reflect accurate information. _____
- G. We ensure unit members are aware of, and are comfortable using, the various channels available to report unethical behavior. _____
- H. We treat fairly those individuals in our unit who report unethical behavior. _____
- I. We hold accountable (i.e., report and/or punish) members of our organization who behave unethically. _____

Section II Total _____

*Use the following scale for all questions in Section III.

Never 1	Hardly Ever 2	Sometimes 3	Almost Always 4	Always 5
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III. Unit Leader Actions – “What do I do?” This section focuses on what you do as the leader of your organization to encourage an ethical climate.

- A. I discuss department values in orientation programs when I welcome new members to my organization. _____
- B. I routinely assess the Ethical Climate of my unit (i.e., sensing sessions, climate surveys, etc.). _____
- C. I communicate my expectations regarding ethical behavior to my unit and require employees to perform tasks in an ethical manner. _____
- D. I encourage discussions of ethical issues in After Action Reviews, training meetings, seminars, and workshops. _____
- E. I encourage unit members to raise ethical questions and concerns to the chain of command or other appropriate individuals, if needed. _____
- F. I consider ethical behavior in performance evaluations, award and promotion recommendations, and adverse personnel actions. _____
- G. I include maintaining a strong Ethical Climate as one of my unit’s goals and objectives. _____

Section III Total _____

Use the following scale for all questions in Section IV. ***Note: the scale is reversed for this section (Strongly Agree is scored as a “1”, not a “5”)**

Strongly Agree 1	Agree 2	Neither Agree nor Disagree 3	Disagree 4	Strongly Disagree 5
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IV. Environmental/Mission Factors – “What surrounds us?” This section focuses on the external environment surrounding your organization. Answer the following questions to assess the impact of those factors on the ethical behavior in your organization.

- A. My unit is currently under an excessive amount of stress (i.e., inspections, limited resources, training events, deadlines, etc.). _____
- B. My higher unit leaders foster a ”zero defects” outlook on performance, in that they do not tolerate mistakes. _____
- C. My higher unit leaders over-emphasize competition between units. _____
- D. My higher unit leaders appear to be unconcerned with unethical behavior as long as the goal, objective, or mission is accomplished. _____
- E. I do not feel comfortable bringing up ethical issues with my superiors. _____
- F. My peers in my unit do not seem to take ethical behavior very seriously. _____

Section IV Total _____

Place the total score for each section in the spaces below.
 (A score of 1 or 2 on any question requires immediate leader action.)

Section I Individual Character Total Score _____
 Section II Leader Action Total Score _____
 Section III Unit Policies and Procedures Total Score _____
 Section IV Environmental/Mission Factors Total Score _____

ECAS TOTAL SCORE (I + II + III + IV)	_____
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Score	25 – 75	76 – 100	101 – 125
Action	Take <i>Immediate</i> Action to Improve Ethical Climate	Take Actions to Improve Ethical Climate	Maintain a Healthy Ethical Climate

Summary

Although the leader is the central figure in establishing and maintaining the ethical climate of the organization, individuals develop personal value systems and ethics before they join. The personal ethic of the individual influences the moral conduct of the person and, perhaps, the conduct of others, especially when that individual is a leader at any level in the organization. However, over time the organization exercises a strong influence over the moral behavior as well as the values and personal ethic of those organizational members.

There are several theories of moral development that help us to understand how we become moral beings. Social Learning Theory appears to be especially promising in helping to understand how people develop morally as well as how the leader can influence the moral behavior of others. Observing the behavior of models (such as leaders) teaches us not only what moral behavior is but also what happens when we behave morally or immorally.

The organizational leader influences others in the organization in ways besides serving as a model. The leader also controls rewards and punishments and communicates expectations concerning ethical standards of behavior as well as performance standards. The leader influences organizational socialization processes that attempt to impart the attitudes, beliefs, and values expected of organizational members. The management of stress and levels of competition are critical to the maintenance of the desired ethical climate.

Police leaders have a high ethical obligation to behave morally. They are agents of a governing body and act on its behalf by law. They freely take an obligation to serve, thus incurring not only a legal but also a moral commitment to moral conduct. Furthermore, police leaders are members of a profession that has an ethic based on the purpose of the police institution: the absence of crime, fear, and disorder. The police's purpose is to serve the community, state, or nation. High standards of moral behavior are necessary to maintain public trust and confidence.

Loyalty and obedience, truth-telling, promise-keeping, respect for others, the principles embodied in our Constitution, and the preservation of human life are among the values central to the ethic of the police profession. However, there are frequent conflicts between values or moral obligations that the leader must resolve. Among the most vexing are those involving loyalty, obedience, and other ethical principles, especially in view of the contemporary nature of the profession, which has become a bureaucracy with values that inherently conflict with the professional ethic.

Shaping the Ethical Climate of an Organization

A leader's ethical responsibilities extend far beyond appropriate personal conduct. The status of leadership mandates that we create a climate that encourages, supports, and requires ethical behavior from every police officer, civilian employee, and sub-unit supervisor who works for us. It is the responsibility of the leader to shape the ethical climate of the organization.

The textbook reading on this subject contains a broad range of theories about personal and moral development, the value of role modeling, and the ethics of a profession in a larger, societal context. Each theorist, researcher, and psychologist used different methodologies and considered different variables. They conducted their work in different parts of the world

and in different decades. Each of these explorations yields valuable insight for the leader; each contributes something to the leader's understanding of ethics.

Armed with this insight, this lesson identifies three powerful strategies to help leaders establish and maintain a healthy ethical climate in their own commands. These three strategies form the heart of this lesson.

The Leader Strategies

1. *Set clear guidelines* and reinforce them regularly. Vision, core values, mission, philosophy, guiding principle, policy and procedure statements in the department manual and posters on the wall are a good start, but they are insufficient to maintain an ethical environment. Ethical guidelines must be modeled by the leader, discussed with the employees, and reinforced on a regular basis.
2. *Monitor stress and competition* so that it does not become dysfunctional to ethical standards. Employees should not be pushed to their ethical breaking point. Stress, whether in the workplace or caused by personal problems such as finances, substance abuse, or relationships, must be noticed by the leader and aggressively mitigated before ethical disaster strikes.
3. *Reward only ethical behavior* and punish unethical behavior. Leaders must move swiftly and publicly to renounce deviations from ethical conduct and enthusiastically congratulate those who make appropriate moral decisions. Also, leaders must be ever vigilant for policies, procedures, and practices that, perhaps unwittingly, encourage employees to violate ethical standards.

The language of these three strategies is intentionally simple, yet it contains direct and effective ways for leaders to think about and act upon their ethical responsibilities. Guidelines, Stress, and Rewards—GSR for short, is an easy way to remember the awesome responsibility of shaping the ethical climate. The following pages are designed to invite open discussion and to build understanding of these strategies.

Case Study

For the last six months, you have been a lieutenant commanding the Field Enforcement Section (FES) of Narcotics Group. During this time, there have been a number of articles in the local newspaper about the fiscal problems facing the city. In an effort to cut costs and promote Community Policing, there has been a department reorganization to make better use of resources. A huge chunk of the department's personnel have been moved to patrol duties. In fact, FES has already lost five detectives and two trainees.

Still, you believe that a narcotics field section is a great place to work. So far, you really enjoy your assignment. Your squads contain a great group of professional, hard-working people. They are bringing in a steady stream of solid narcotics arrests and investigations.

It did not take long before you heard more bad news from downtown. You learned that more cutbacks in narcotics deployment were being considered. Fortunately, for now, no

one had decided where these cuts would come from, and even the chief was not positive they would occur. While this restructuring plan was being discussed at the top of the organization, the rumors were flying at the field enforcement level. All of this has caused a great deal of frustration and anxiety, but you knew things could get much worse before they got any better.

For one thing, the Commanding Officer of Narcotics Group is becoming less tolerant of low productivity. It is a well-known fact that a number of detectives in Major Violators Section have been transferred out because their long investigations with small-time seizures made the Narcotics Group look bad. In a recent meeting, the commander said that “times have changed.” He made it clear that the Field Enforcement Sections will be required to take on more and more responsibilities with fewer personnel and still maintain “the high numbers of arrests, confiscations, and forfeitures that we are accustomed to.”

The rampant rumors and the increased demands for production have clearly begun to burden your people. Morale is beginning to suffer and disillusionment clearly pervades the squad rooms. Despite all this, you are impressed with the way everyone still gets out and does the job. You only wish that the public and the mayor understood what you all were going through.

You remember from one of your leadership courses that in times of crisis or disenchantment, sub-unit leaders have great opportunities to take initiative and influence positive change. Thinking about this, you suggest that your squad leaders start thinking of ways to make more asset forfeitures. Your goal is to dramatically increase the amount of money and property seizures the squads bring in. “It can only help us,” you explain. “The more we bring in, the more we justify our existence.”

To get this campaign started, you have a meeting with all your employees. You tell them to kick butt and make as many cases as possible, because “all our jobs may depend on it.” Thereafter, a fierce competition between squads breaks out. Everyone is trying to land the big case.

Within days, you are thrilled by the initiative of your detectives. They have begun to squeeze better information from their informants and to make several solid cases. As a result, fifteen kilos of cocaine, respectable quantities of heroin and methamphetamine, three late model luxury cars, and an exclusive townhouse have been seized in a number of separate search warrants.

At the height of this competition, following a successful search warrant service where a large quantity of drugs and money was seized, you are leaving the scene when you notice one of your assistant squad leaders, Detective II Ray Heimlich, driving away by himself. Since you know this was Heimlich’s case, you wonder why he is driving in the opposite direction from the station. Finally, you figure that he must be going to meet his informant, pay her off with Secret Service money, and get any last minute details before he goes back to the station to complete reports.

But where is his partner? Ray Heimlich is a senior detective who knows it is against department policy to meet with informants alone. You realize that everyone is busy these days, but you make a mental note to talk to Heimlich when he gets back about taking this shortcut. You also decide to follow Heimlich and provide backup because informants are notorious for making allegations of use of force or improper conduct. Besides, if you remember correctly from the informant package you reviewed, Heimlich’s snitch in this case

is a young, blond female, who's not too bad looking if you could ignore the motorcycle tattoos and the methamphetamine habit. She might be just the type to make false allegations.

After a few miles, Heimlich pulls into a vacant lot and, sure enough, his informant is standing there in a yellow sundress. As you watch from down the block, Heimlich chats for a few moments, then hands her the manila envelope with the secret service money you counted out this morning. To your astonishment, he also hands her a plastic grocery bag that appears to contain a substantial amount of cash. What in the world is going on?

Hating every moment of it, you drive up to investigate. Upon closer inspection, you see that the money is about \$5,000.00 in twenty-dollar bills. All the cash has been rolled and rubber banded, just like it was in the dope dealer's house where you just served the search warrant. Detective Heimlich blurts out, "You got me lieutenant, but let me explain."

He pulls you aside and states how the Department's Secret Service funds just aren't enough to buy good information, because the informants know that the sheriffs and the federal agencies pay much better. To make up the difference, Ray Heimlich explains that he has been skimming a little money from each seizure and kicking it back to his informants. Heimlich swears he has never kept any of the money for himself and says that this practice is largely responsible for the huge jump in his squad's productivity.

You order Detective Heimlich to stand by at that location and not discuss this with anyone. You suggest he start thinking about an employee representative because you will make necessary notifications and conduct a formal personnel complaint interview when you both return to the station. You seize the cash and, as you begin your interview with the informant, you wonder if any other employees have used this racket to increase their seizures and arrests. How did things get so far out of control? Did your own words or actions contribute to this? Where is the department going?

I. **Identify** the **Areas of Interest**.

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(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** the situation using the Ethical Dimension of Leadership Theory.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Are there clear guidelines as to what is ethical and what is unethical? Are any clear guidelines being regularly reinforced?

How are rewards and punishments being used in regards to ethical behavior?

Are there dysfunctional levels of competition and stress present in the organization?

What are the consequences of the dysfunctional levels of competition and stress in the organization?

Do members of the organization feel comfortable reporting unethical behavior?

III. **Explain** how the ethical climate is influencing the behavior and/or attitudes of the organizational members. How are the throughput processes being affected? What are the outputs of the organization?

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

LESSON 31: INTEGRATION IV

Introduction

This lesson consists of:

1. Area IV Overview
2. Case Study

Assignment

1. **Review** Lessons 1-30.
2. **Read Course Guide**, pages 193-203.
3. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**
 - II. **Analyze** the situation using all applicable theories from the course to date. III. **Explain** an Area of Interest in terms of the theory(ies) you selected in the step above. Discuss how the selected theory is affecting the individual, group, leadership, and organizational systems. In other words, use the selected theories to explain why individual motivation, performance, and satisfaction; group structural dimensions and performance; leadership performance; and organizational performance are affected.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretically correct leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.

Area IV Overview

In lessons 26 through 30, The Organizational System, we studied the elements of an organizational system and how each element influences the other. We further studied how the external environment impacts the internal environment.

Specifically we learned the following:

1. **The Organizational System** is like individuals and groups, in that it is also an Open System. We further learned that the Organizational System is made up of **component parts: the goals and values component, the technical component, the psycho/social component, the structural component, the leadership component, and boundaries.**

1. The **environment** includes forces outside of the organizational boundaries. The **technical core** should influence all the decisions of the leader in terms of leading the environment. Leader strategies for influencing the environment are designed to reduce information uncertainty and resource dependency and, when possible, enhance public trust and confidence in the police. Remember that the strategies for reducing uncertainty are as follows: **buffering, adapting, rationing, and smoothing** out. The strategies for reducing dependency are **maintaining alternate resources, acquiring prestige, and co-opting.**

3. Organizational **Culture** is defined as a pattern of shared basic assumptions that the group has learned while solving its problems of external adaptation and internal integration. These basic assumptions have worked well enough to be considered valid and are therefore, taught to new members as the correct way to perceive, think, and feel in relation to problems. The lesson on culture taught how to define and understand an organization's culture and design the specific actions that leaders could take to influence their organization's culture. The organizational leader's role is to create, sustain, or change an organization's culture. **Embedding and reinforcing** mechanisms are the means of influencing culture, embedding being the primary and reinforcing being the secondary means. There are five embedding mechanisms and five reinforcing mechanisms.

4. **Change** is any process imposed on an organization that requires that organization to respond. How a leader responds to change is called **adaptation**. An adaptive-coping cycle has seven stages of activity through which an organization adapts to change: **sensing, communicating information, decision-making, communicating instructions, stabilizing, coping actions, and feedback**. Most likely, there will be some degree of resistance from individual members or groups when the organization finds a need to adapt. There are five strategies for overcoming this resistance to organizational adaptation: demonstrate that there is a real need for the adaptation; ensure that those who need more training or skill development will get it; allow employees the opportunity to participate in the change process; make sure

the organizational leader responsible for the adaptation belongs to the organization affected; and as a last resort, use coercion. There are additional strategies for **major change** and **incremental change**.

5. “A leader will be ineffective, and perhaps catastrophic, if he fails to practice and promote **ethics**.” Leaders shape the ethical climate in an organization by setting and reinforcing clear guidelines regularly; monitoring stress and competition; and rewarding ethical behavior and punishing unethical behavior.

In this lesson, we combine the concepts from the individual, group, leadership, and organizational systems. To be successful as leaders, we must understand the interdependence of these systems and be able to apply this knowledge in complex police situations.

At this point in the course, we should be able to perceive how changes or trends in any one system will impact all others. It is especially important to see how the actions of a leader will reverberate throughout every level of an organization.

Case Study

Background

You have been the Director of the Office of Operations for nine months and have found the job to be very challenging and rewarding. You are responsible for all uniformed officers and most detectives within the department. You have worked hard to improve relations within your command, especially among the staff and command officers. You are satisfied with the great progress toward a spirit of teamwork and cooperation that now exists.

For several weeks you have been hearing rumors about a major change in the department's direction. The news vans parked outside confirm your suspicions that the big announcement will happen today. As you enter the conference room for today's staff meeting, you are surprised to see not only the chief, but also the mayor and a few key members of the City Council. With this impressive entourage gathered and news media cameras whirring, the chief begins the meeting.

"I want to deviate from our normal agenda today and share with you what I believe to be the future of policing in this country. I firmly believe the public wants a more personal relationship with the police; we have to do more than just arrest offenders. I understand that officers want to be crime fighters and not problem-solvers. They may even look upon problem solving as a form of social work. Call it Community-Based Policing or Problem-Oriented Policing or whatever you like, but we are going into the Community Policing business, and the mayor is here to impress upon all of us that he and the City Council are behind this plan one hundred percent.

"When I became chief, I made a commitment to change the way this department does business. Perhaps I expected too much, but it's clear to me that we must change even more. I have been listening to the public, and the people of this city are right—our old ways aren't working. We can no longer sit and ignore the problems we think we don't have time for. We can't keep responding to needs at the last minute. We have to start being more in touch with the community, and that's why I think we need major reform.

"I intend to put more officers on walking patrols and assign them permanent posts. These cops will be responsible for cleaning up their areas, and I don't mean just crime. I want them to identify unsafe conditions, houses that need to be boarded up, people that need help. I want them to look at their reporting districts as a whole, not just as individual crime problems. I want them to improve the overall quality of life in their assigned areas. They will get to know the people they serve. I want them to be seen as problem-solvers in addition to police officers. Any problem that the officer and his supervisor cannot handle alone will be combated with the shared resources of other police units and city agencies such as Sanitation, Building and Safety, or whatever it takes." Looking directly at you, the Chief states, "As Director of the Office of Operations, you have the biggest pool of personnel. I am depending on you to 'sell' this program to your officers at every rank. You, more than anyone else, have a major responsibility for the success of this program. You are to meet with your commanders, captains, lieutenants, sergeants, detectives, and officers. Explain this program to them and make it work!

"I realize training will be required," the chief continued. "The City Council has agreed to allocate funds especially for this crucial training, but you will develop the

curriculum and ensure that all your officers attend. Work with the Mayor's Office to see what federal and state grants are available."

Turning to the group again the chief continues, "I offer our department as a model for the rest of the country. The other police departments will be watching to see how well we handle this transition and what results we achieve. One year from now we will offer Community-Policing training to law enforcement agencies all over the country, maybe the world! I am sure we will be ready." Looking at you again, the chief continued, "I want you and each of your deputy chiefs to supply me with a report in one week, outlining your suggestions for our transition to Community Policing."

The Next Day

Since the evening news and the morning paper covered the chief's address, the entire department was buzzing with rumors and opinions. Immediately you called a meeting of your captains and above to discuss the chief's new directive. As you finished your briefing, you opened the meeting to questions and comments.

"No way!" one of the commanders cried. "The public activists and special interest groups will be placing even greater demands on us. They don't think we do anything now; they look upon us as just workers waiting to do their bidding."

"He's right," said an area captain, "I've heard several of the self-appointed citizen 'experts' say that the officers are lazy and do not know what real community service is. If this new policy gives them more power over what we do, they are going to run us ragged. I don't see how we are going to answer our calls for service, do foot patrols, and also do all that stuff the citizen groups want done too. There are only so many of us and only so many hours in a day."

One of your senior captains presses the issue. "How are the foot beat officers going to be selected? Most officers will want to remain in a patrol car and will view the walking post as an undesirable assignment, almost a punishment tour. There is no way this will work. All the captains and the chief's pets will remain in the cars while the 'leftovers' walk. That means our citizens will have the most contact with our worst officers. This sounds like it's doomed to backfire."

"What on earth is the chief thinking?" another commander chimes in. "I've done extensive research on Community-Based Policing, and it takes time to train the personnel and work out the bugs. This plan puts extra pressure on all of us, not only to do a complete changeover in one year but also to have a nation-wide training plan ready by then. Unbelievable! It will never fly. People are going to get burned when this program fails, and it's going to be the people in this room who take the fall."

One young sergeant was present to take notes. He had been sitting quietly during the meeting but he finally spoke, "Chief, I'm a new sergeant and I only have seven years on the job, but I am still very close with the cops. I believe most of them will feel the way I do. I'm a cop, not a social worker. My job is to investigate crime and lock up the bad guys. When you are hurt or afraid in the middle of the night, you call me. Don't call me because the garbage hasn't been picked up or someone dumped an old stove in the alley. It's not my job. Give me a little free time and I will take care of the real crime problems."

The final shot came from the lieutenant who oversees the scheduling for overtime, special details and training. She wanted to know about the planned training—when would it be; how long would it be; and how many sessions would be available? "How am I supposed

to schedule other schools, vacations, and time off when I don't know about this all important training? We are stretched on field deployment now. If we have to supply too many officers for each of these classes, there won't be anyone left to handle radio calls. Chief, you can see all the holes in this plan. Aren't you going to stand up for us?"

You looked around the room. Were these your people, the ones you depended on to make it all work? You were amazed at the negative attitudes you were hearing. The success of the chief's new direction and your future would, to a great degree, depend on the people in this room. You knew you better come up with a plan--and soon.

I. **Identify** the **Areas of Interest**.

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(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** the situation using all applicable theories from this course.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

LESSON 32: PUTTING IT ALL TOGETHER

Introduction

This lesson consists of:

1. Closing Thoughts
2. Case Study

Assignment

1. **Review** Lessons 1-30.
2. **Read Course Guide**, pages 205-216.
3. When you solve a case study or act as a leader in your organization:
 - I. **Identify** the **Areas of Interest**.
 - II. **Analyze** the situation using all applicable theories from the course to date. More specifically, identify the theories that are at work in the case study or in your organization.
 - III. **Explain** an Area of Interest in terms of the theory(ies) you selected in the step above. Discuss how the selected theory is affecting the individual, group, leadership, and organizational systems. In other words, use the selected theories to explain why individual motivation, performance, and satisfaction; group structural dimensions and performance; leadership performance; and organizational performance are affected.
 - IV. **Select** an appropriate theoretical leader strategy(ies) to address Areas of Interest.
 - V. **Apply** the theoretically correct leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest.
 - VI. **Assess**, evaluate, and revise your leader plan.

Closing Thoughts

As you complete this course, it is an opportune time to reflect upon how this course has impacted your personal development as a leader. Thinking back to the Course Goals at the beginning of this Course Guide, do you perceive any changes in your own ability to motivate human beings, capitalize upon the power of groups, make better leadership decisions, or influence an entire organization? Have you developed an appetite to acquire yet more leadership knowledge, to collaborate with fellow leaders, and to practice these skills in your everyday job?

The skills you have developed and the knowledge you have acquired will be useful in a wide variety of endeavors, both personal and professional. As one small example, the Case Study for this lesson will provide the opportunity to analyze a complex situation from a variety of different perspectives. In this lesson, as in your career, the use of behavioral science theories and approaches will maximize your ability to directly and indirectly influence the members of your organization.

Case Study

Your heart pounded with excitement. You are anxious to become acquainted with your new assignment—geographical area command. You want to get familiar with all aspects of your area: the Patrol Division, Detective Division, Vice Unit, Community Relations Office, and Crime Analysis Detail.

The Chief of Central Bureau made it clear that he has high expectations for your geographical area. “We owe it to our officers and our community to uphold the reputation of this police department. I expect my area commanding officers to devote one hundred percent of their effort to enforcing the law and to serving the public. Feel free to be imaginative, but you had better produce high quality results. Whatever you do, do not let crime statistics rise too much or let crime clearance rates slip. Maintain the highest standards of professional appearance at all times. And no more accidents with those patrol cars! You should ensure that every follower in your command meets or exceeds state training requirements. We are preparing for an on-site assessment by the Commission on Peace Officers Standards and Training (P.O.S.T.). We have two months before the assessment, so your area’s attention to training will pay off soon enough.”

Your initial tour started in the office of Captain Terry Simon, the outgoing area captain who was being promoted to commander. After some small talk, Captain Simon stated, “We do our best to maintain a good image; it keeps Central Bureau off our backs. That’s why I couldn’t meet you earlier today. One of my patrol officers got in his second traffic collision this month. The deputy chief doesn’t care who is at fault; he’s going to burn anyone who gets in a traffic collision. I had to remind that patrol officer of what happens to those who get caught.”

Captain Simon continued, “I’ve asked Lt. Hans Hoover to show you around. He’s the day watch commander and Captain Rocky Adams made him the acting patrol C.O. while Adams is on vacation. If you have any questions, please let me know.” Lt. Hoover suggested that you start in the Detective Squad Room. Detective Division

“Captain Simon pretty much lets the detective C/O, Lt. Randy Allen, run the Detective Division,” Lt. Hans Hoover said. “Except for the ongoing battle some detectives have with patrol officers, things seem to be running smoothly. I call it the battle of the egos. They fight over stupid things like cheeseburger wrappers being left on somebody’s desk. It’s kind of embarrassing. We’re all part of the same police department. We should be able to get along.”

Soon, you were met by Lt. Randy Allen. He stated, “I’ve been pretty successful at keeping our clearance rates up, and we haven’t had any complaints about our performance from the District Attorney’s Office. Captain Simon and I worked out an arrangement—he left me alone, as long as I got the job done. That way, he got to focus on his job, and I could focus on mine. I hope we can continue this arrangement, captain.”

You glance over at a couple of detectives unloading a cardboard box into a nearby closet. “What do we use that closet for, Randy?” you ask.

“I let the detectives use it for just about anything. We’ve used it for everything from storing uniforms to storing evidence until we can catch up on the paperwork. I know we are

supposed to store evidence in the property room, but you know how it goes,” responded Lt. Randy Allen.

You approach one of the detectives by the closet and casually asked him what he was doing. “We’re just putting away a few pieces of evidence that we haven’t booked yet. It’s the only way to get our desks cleared up around here. I’ve only been in the Detective Division about a month, but when I got here Lt. Allen told me to listen to him and follow his lead. He’s been teaching me how to keep things rolling around here. I’ve already learned a lot from him.”

“This is the only way we can keep up with our workload,” interjected Lt. Allen, “and keep the bureau chief happy with our performance. We’re overworked and it’s tough to keep up with all of the new cases.”

Lt. Hans Hoover could tell you were not very happy, so he suggested you move on to see some training. “What kind of training is going on today?” you inquire.

“I don’t know, but I thought maybe you would want to check. We have never been evaluated by P.O.S.T. before, but I’ve heard some horror stories about how nit-picky they are. There is someone you should meet—Sergeant Julie Brunner, our training coordinator. We’ll stop by her office to find out what’s going on.”

Training Coordinator’s Office

Sergeant Julie Brunner kept a neat training room. Several large calendars hung on the wall behind her desk. The training schedules for the current month and the next three months were posted in multi-colored ink on the calendars. Sergeant Brunner, bent over her computer, was preparing the next training schedule.

“Good morning. I’ve prepared a detailed briefing of our training for you. As you can see from these planning calendars, sir, we’ve been in a pretty intensive period of training in preparation for our upcoming evaluation by P.O.S.T. I expect that you’ve already seen a lot of this training going on.”

“As a matter of fact, Sergeant Brunner, we haven’t. That’s why we’re here. I understand you’re the one to see when it comes to training.”

Sergeant Julie Brunner straightened up a bit and proudly explained, “Yes, I’m the one with the plan. I brief the watch commanders each deployment period on the upcoming training commitments, so they can plan accordingly. I’m required to call Central Bureau each week to report the status of our training for that week, but that’s not a problem. Since this is a squared away division, I simply report that everyone got the training that my schedule said they would, unless somebody tells me different. I always make sure that this area and Captain Simon look good on the monthly training report. Along those lines, I’ll be bringing the training schedule to you for your signature each month.”

“You mean to tell me that the area captain does not really know if anyone actually attends the scheduled training?” you asked.

“Well, not really,” replied Sergeant Brunner. “Since Captain Simon spends most of his time working on other things, we’ve left it up to the individual officers to let me know if they couldn’t make the classes. Besides, it doesn’t really matter if a few officers miss an occasional training class—most of them have heard all that stuff before anyway. It’s only once in a while that we get anything worthwhile.”

“Then I’m sure that you can tell me where to find some good training to observe,” you responded.

“Yes, sir,” replied Sergeant Brunner. “Some of our officers are in classroom # 11 at the Academy right now. Legal Affairs Division is teaching a legal update. Their next class starts in about fifteen minutes.”

“Thanks for your help, Sergeant Brunner,” you said as you and Lt. Hans Hoover head for the Academy.

Police Academy

Before you reached classroom #11, you told Hans you wanted to slip into the rear of the room and not interrupt the training. As you entered, several officers were having a heated discussion. Unnoticed, you listened to their debate.

Officer Cocker: This search and seizure is getting old. The same boring lecture over and over. I’ve heard it so many times; I could repeat it in my sleep.

Officer Bouvier: I can’t wait for this day to be over. I start my two-week vacation this afternoon; and this boring law lecture is the last thing on my mind right now. Two whole weeks of fun in the sun, I can’t wait!

Sergeant Shepherd: You know, Cocker, when you first transferred to this division I thought you had your stuff together, but now I’m not so sure. All you do is whine. And you, Bouvier, I used to think you were going somewhere in this department. At the rate you’re going, you’ll be a street dog your entire career.

Officer Bouvier: This training is as boring as an old shoe. How can anyone get anything out of it? It’s the same stuff I had in the Academy ten years ago. I don’t need this. Let’s face it, the only reason we are being put through this is because of that P.O.S.T. evaluation.

Officer Cocker: Boy, have you got that right. Take a look at these legal affairs guys. They don’t do anything anymore. We’re out on the streets fighting crime while those guys are back in the office with their feet up on the desk, eating frozen yogurt, or playing computer games or something. All the arrests that we make just keep making everybody else look good. And when was the last time you saw any of these guys out on the street?

Sergeant Shepherd: Knock it off, you guys. As far as those specialized units go, you’re right, but everyone’s got the same opportunity to transfer over there. Besides, we know that street cops are the backbone of the whole department.

Officer Cocker: You sound like a cheerleader. Thanks for the motivational speech. We feel much better now. Don’t we, Bouvier?

Officer Bouvier: I don’t know. But this day is getting shorter, and I’m almost outta here. When I get back from my vacation, retirement will be even closer.

You fought back the urge to make a comment, but decided to leave. Once outside, you hear an animated conversation between the two art watch commanders you have yet to meet, Lieutenants Wolfe and Mastiff.

Lieutenant Wolfe: If you think this upcoming evaluation is going to be painted with eyewash, you are wrong. Those guys are going to rip us apart.

Lieutenant Mastiff: Chill out. I’ve been around a lot longer than you have and I know this is just another show. Stop rocking the boat.

Lieutenant Wolfe: You’ve never been through a P.O.S.T. evaluation before. You have no idea what they are looking at. I’m not even sure what today’s training is meant to accomplish and how it fits into the master plan. Was this training essential to our street mission? Are we meeting the standards or not? It seems as if we just go through these

training classes because we're supposed to. When we get here, nothing happens. No updates, no after action reviews of the training, no evaluations on our progress. We're in bad shape, and we're too blind to see it. What did Capt. Simon say the object of this training session was supposed to be?

Lieutenant Mastiff: Simon says go to the training. Simon says do well. That's all the guidance we get. Enjoy it while you can. I heard that this new guy coming in to replace Simon is a micromanager type...wants to get into your business and tell you how to do everything.

Lieutenant Wolfe: You don't want to listen, do you? We are getting nothing accomplished. We don't even know what we are supposed to accomplish! Well, I think I know what my officers and sergeants need. We're going to follow-up on this training. While you're kicking back, I will be sending more officers for training whenever we can schedule another class.

You had heard enough and decided to let them know who you were. You opened with, "I'm the incoming area captain, and I just came down here to see some training. Would one of you mind showing me around?"

Lieutenant Wolfe volunteered. As the two of you walked down the narrow hallway, the silence was awkward. Finally, Lieutenant Wolfe said, "I apologize for that scene back there. We've never prepared for an evaluation like this before."

Sensing his uneasiness, you interrupted, "That's OK. Now is the time to make the mistakes. You're right, we've got a lot of work to do; but that's why we train."

"No disrespect, but around here we can't make mistakes; they simply aren't tolerated."

You decided to change the subject. "What do you need to improve your training?"

"If you really want to know...lately the Police Academy has bumped us off some ranges we thought we had scheduled. We never seem to find out until we show up. Besides that, we seem to have trouble getting enough money or enough time for training. Finally, my biggest challenge is getting enough officers out to training. Today, for instance, I only have half of my authorized people here."

"What have you tried to do about it?" you asked him.

"Every time I bring it up, Captain Simon tells me to talk to Sergeant Julie Brunner about it—that training stats are Brunner's responsibility and that as far as the numbers show, we really don't have a problem."

"Have you informed Sergeant Brunner?" you pressed.

"I've tried, but she's so busy trying to make everything look perfect that she doesn't really hear me."

You saw Lt. Hans Hoover up ahead, so you thanked Lt. Wolfe for his time and said good-bye.

It was almost noon and you'd seen enough for one morning. You and Lt. Hoover headed back to your new office. "Did you get an eyeful so far?" Lt. Hoover asked.

"I certainly did. I guess it all just leaves me wondering what the priorities in this area are."

Hans Hoover responded, "I have often wondered the same thing. I have tried for the last twelve months to give my input to Captain Simon, but I just can't seem to get my recommendations in over those of Lt. Randy Allen and Sgt. Julie Brunner. I guess Captain Simon and I never clicked, if you know what I mean."

You responded that you did have a good idea what he meant. As you parted company with Hans, you mulled over the morning's events and begin working on a plan.

I. **Identify** the **Areas of Interest**.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____
12. _____
13. _____
14. _____
15. _____
16. _____
17. _____
18. _____
19. _____
20. _____

(If necessary, continue listing **Areas of Interest** on another page.)

II. **Analyze** the situation using all applicable theories from this course.

What is the relationship among the Areas of Interest listed above? More specifically, is there a chronological order or **logical chain of events** that helps you make sense of the facts you have? If so, outline the time sequence of events.

Do the facts of the case and your explanation form a pattern that allows you to identify a fundamental or **root cause** (i.e., is there something in the case information that suggests it is the underlying cause of all or most of the Areas of Interest)?

IV. **Select** an appropriate theoretical leader strategy(ies) that would be effective in this situation.

V. **Apply** the theoretical leader strategy(ies) to the situation in the form of a specific leader plan that addresses all Areas of Interest. The plan should be realistic and holistic, address all the Areas of Interest you have identified, and translate the theoretical leader strategies into specific actions. What will you do and say to whom, when, where, and how?

VI. **Assess** the effectiveness of your leader plan and revise as needed. After your leader plan, list the measures you would use to evaluate your actions. In this step, leaders need to ask, “What information do I need to tell whether or not my leadership is having the desired effects? How will I obtain the information I need? How can it be generated? Who can help me get what I need? How often should I collect data and in what form?”

LESSON 33: THE PRACTICE OF LEADERSHIP LEADING FOR THE REST OF YOUR LIFE

“Police Officers themselves must accept the leadership challenge of helping to create organizations more useful to their community. It is very easy to defy the police chief. What we need are officers with the moral courage to defy their peers in pursuit of elevated notions of public service.”

—Edward A. Flynn
Chief of Police, Arlington, Virginia

This lesson is experienced every day for the rest of your professional life. It consists of putting the knowledge you have acquired in this course into practice as you participate in leadership roles and processes at work, in your community, and in your family. Leadership development is a lifelong process if you take it seriously and commit yourself to being the best leader and most effective follower you can become.

You have had a unique opportunity to participate in an expensive, high quality leadership development program. A big part of your job from now on as a leader is to develop others for leadership. The biggest legacy you can leave is a group of younger leaders who are ready to take your place and become better leaders than you ever were.

In Lesson 33 you will be expected to act like a leader even when you do not have a formal leadership position in your department. Use what you have learned as part of your responsibility to strengthen your department’s leadership system. From now on you are expected to act like a leader when the situation needs leadership, and you can provide what is missing. This may not always be easy, especially in situations where the others are mostly your peers. You must ask yourself what the department and the community value and expect from those who serve the public interest. And then you must have the courage to act to influence others to achieve the goals of your organization, while developing individuals, teams, and the organization for the future. You must also be a good follower by supporting your leaders as they seek to get the department as a whole to make change, maintain an ethical climate, develop others, and accomplish the goals that will lead to a stronger and healthier community, which is why your police department and your job exist.

GOOD LUCK!

