Leadership for the Field Trainer Program

Mike Alexander (Chief – Ret.)

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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

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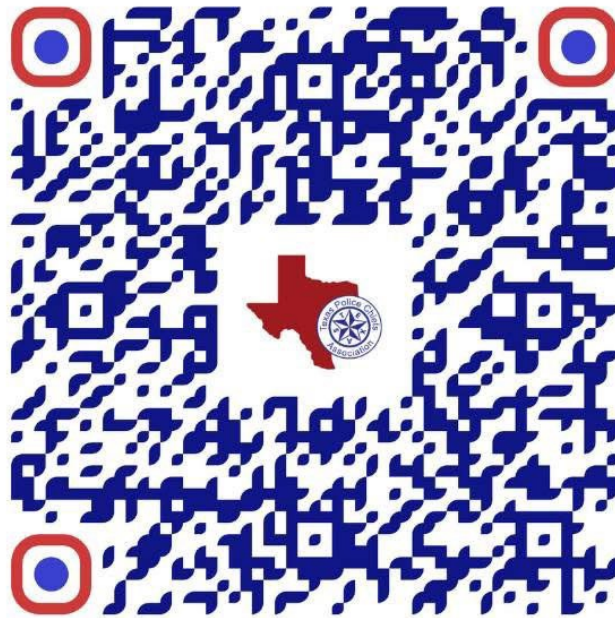
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- Aims to provide the very best of executive and command level training for chiefs, commanders and supervisors to lead and manage throughout their organizations

- Classes are focused on leadership with common themes of fairness, dignity, respect, trust and non-biased practices that create healthy organization and community confidence.

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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:

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- 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 intial fee

www.texaspolicechiefs.org

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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
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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.

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This course is based on the Developing Leaders for Texas Law Enforcement

This course, like the three-week leadership course, should be viewed as a stepping stone in a path of life-long leadership learning.

This course has been adapted to accommodate adult learners. A rich body of educational literature and research has demonstrated that adults learn best and enjoy the process of learning most when they:

Study concepts that they believe are relevant and useful. Receive instruction that is well designed and organized. Gain new information by building upon what they already know. Take an active role in learning by using a variety of sensory inputs, for example, thinking, listening, writing, discussing, etc.,. as they study new concepts.

The authors have already completed a big part of their role in putting these principles into practice. That role included researching and adapting the curriculum, securing logistical support, organizing learning activities, and providing the student with numerous opportunities for study and practice the material in each lesson. The course coordinators and instructors will present a variety of research-based theories, facilitate the learning, and provide the students with active feedback on how well they understand and can use the material.

The student's job is to assume responsibility for their learning. This is no easy task; it requires considerable study, thought, and introspection. In this Course Guide, the course coordinators and fellow students will assist each student in assuming that responsibility.

Course Goals

Everything a student is expected to do in this course is organized around five goals. These goals should be a focal point for student efforts throughout the course and after the training has been concluded. Stated briefly, these goals are to:

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

LEADERSHIP FOR THE FIELD TRAINER

Why have a field training program?

When a person is hired to be a police officer, he or she is traditionally sent to the classroom for basic training. This training, which is by far the most complex training undertaken by a police agency, is aimed at providing the newly hired recruit with a basic competency to perform the job of patrol officer. However, most recruit training programs leave a wide gap between the classroom and the "real world of police work.

The classroom will not suffice in and of itself to adequately prepare the new officer to understand the police role and how to fulfill it. For this and other reasons, field training plays an important part in the effective training of new recruits. Through exposure to actual street experience and the accompanying field problems, patrol situations, investigations, and crime incidents, the recruit learns to apply classroom principles to live situations. Field training takes up where the classroom leaves off.

The field training experience is also used to see if a new recruit can function effectively as a police officer. Ideally, field training serves as a continuation of the selection process in addition to its training functions. Field training programs, if properly designed and administered, can result in improved police services to the community. Better trained and therefore better-qualified police officers will increase the police department's efficiency and effectiveness.

A direct result of these field training programs can be an overall improvement in the relationship between the police and the community. Specifically, these programs can reduce the number of civil liability complaints and lawsuits against the police department.

Field training programs are relatively inexpensive to implement and maintain considering the dollar savings that result from a reduction in civil liability lawsuits. These dollar savings may be better used to accomplish the agency's primary mission--the protection of life and property.

Background

One of the most important developments in police officer selection and training was the introduction of the first formalized field training program in San Jose, California, in 1972. The program involved assigning experienced, specially selected, and trained police officers, known as Field Training Officers (FTO's), to newly commissioned officers to provide tangible, on-the-street training, evaluation, and if needed, retraining. The ultimate goal was to ensure that the recruit police officer not only knew the law and departmental policie, but also was capable of handling responsibilities on the street before being allowed to work alone in the field.

Another important feature of the San Jose program was the FTO's role in the screening and selection of police recruits. Those recruit officers who completed the academy could still be weeded out if they failed to acquire or exercise the critical policing skills under the scrutiny of the FTO.

Today, the "typical field training program consists of some formalized method of training recruit officers on the job. This training, combined with performance evaluation by the FTO, usually occurs immediately after the recruit completes the classroom portion of the basic training. In this manner, recruits put into practice the theories they have learned in the classroom. The field training program usually continues until the trainee successfully makes the transition to effective patrol officer or is dismissed for failure to meet the requirements of the job.

The formal field training program usually divides the training into segments or phases. Although the length of the segments may vary, each program normally consists of an introductory phase that familiarizes the recruit with the functions and duties specific to the agency, several training and evaluation phases, and a final evaluation phase. During the training and evaluation phases, the recruit is gradually introduced to the more complicated tasks of law enforcement.

During the final evaluation phase, which consists only of evaluation of the recruit's performance, the FTO may act strictly as an observer and evaluator while the recruit acts independently of the FTO. This is considered a final check or test to see if the recruit is ready to work alone.

In all phases of the field training program, the recruit is constantly evaluated to ensure that satisfactory progress is being made. Deficiencies are identified and remedial training occurs. Recruits who successfully complete the program continue through the remainder of the probationary period.

How to Be Introspective

Scientists suggest that many states are accessible to us through introspection. These states include attitudes, beliefs, desires, evaluations, intentions, emotions, and sensory experiences (Schwitzgebel, 2012). On the other hand, it's thought that our personality traits are not available to us through introspection, largely because we often have a difficult time knowing precisely what our character traits are. I might argue that introspection need not result in a right answer—our beliefs about our personality traits are useful information too—but I won't digress here.

Given we all experience these states, introspection is a tool that is available to all of us. With practice and effort, we can improve our ability to introspect, better understand ourselves, and use this knowledge to create the life we desire. So how does one gain (or improve) their ability to look inward?

The first thing we might consider is what information exists in conscious awareness, what information could be brought to conscious awareness, and what information remains out of our consciousness (in the unconscious). To improve introspection, we have to find ways to make information more accessible, that is, to bring it toward consciousness (Vermersch, 1999). So let's talk about methods to do that.

A STUCK TRAINEE

When the trainee becomes stuck, be patient, give them space and remain comfortable with where you have arrived. Stay silent, be mindful of your body language but also stay present as they assimilate where they are and process their thoughts. Should you feel that a coaching intervention (**usually in phase 2**) is required, ask them: 'What's happening for you right now that is causing your stuck-ness?'. Re-enforce their feelings and thoughts by mirroring their language and summarizing what they describe. Be curious with any metaphoric references; for example, I am cornered; I have hit a brick wall with you; I am swimming in quicksand. Also, observe any relevant body language – are they sitting in a twisted position, folded arms, head in a downward position, appearing defeated, sighing, or shaking their head? Making this known to the trainee and asking if it has any significance to the situation will encourage revealing any important subconscious realities.

Allow the plan to be controlled by your trainee so that it remains their plan, encouraging them to

find their solutions. As thoughts are verbalized, you may ask, 'What do you want to do with this?' or 'What would be useful now?'. When they are ready to progress, this is where the shift can occur and have experienced the pain of being stuck; the derived pleasure and sustainability of their choices as they move forward are often more profound.

If you, as the FTO, reach a point of uncertainty or one of feeling stuck, access the signals that are telling you this, choosing your timing to express what is happening to you. Help your trainee start small if they need to, but life isn't going to slow down for them. While they wait for tomorrow to be more precise, better, ready, and not upset someone, energy and this FTO process pass them by. And when people allow life and circumstances to stop them from doing what they want, they give their power to someone or something else.

Human beings tend to avoid feelings of discomfort where possible, and so is staying with them, albeit with the support of a coach/FTO, the trainee can find it intense and draining. Therefore, they may choose not to explore this occurrence for too long. Remain mindful of this and do not force the situation. This is a delicate balance. When you do work through a place of challenge with your trainee, be aware that it can also be a stressful process for an intuitive FTO. Position your feedback and self-analysis in a tailored way according to the trainee you are coaching and the phase you are in. It takes courage to use this strategy, but when applied effectively, it brings real value to the trainee in identifying progressive strategies to overcome the sticking point.

We will spend this entire week providing strategies from behavioral science and neuroscience when working with a STUCK TRAINEE.
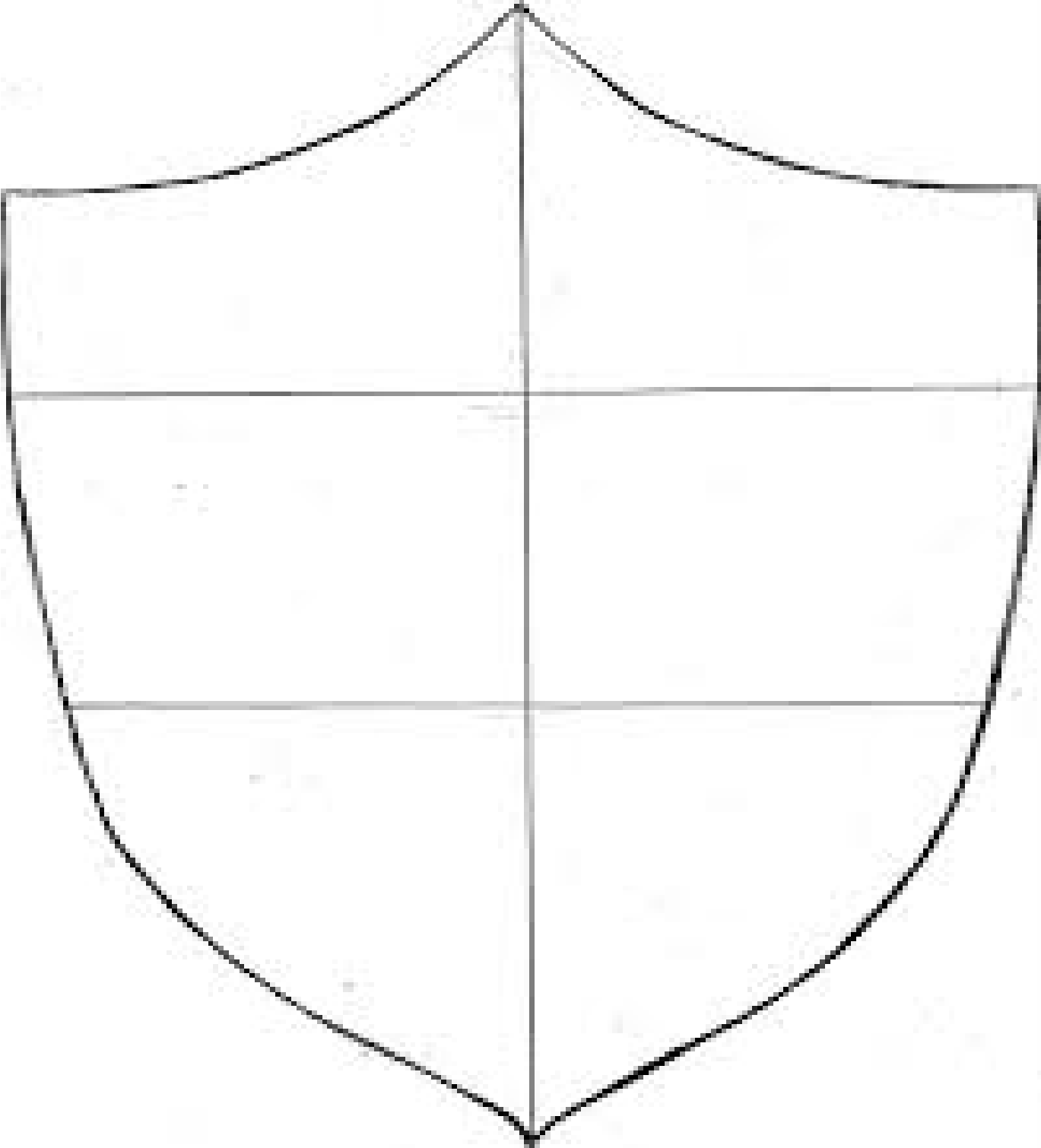
Leadership in Police Organizations

The Conceptual Foundation and Area I: Leading Individuals

Welcome to the study of leadership in police organizations!

This course is based on sound theory and research and, most importantly, on the realities of police work. The lessons have been tested in several police departments of different sizes in various parts of the country and were very well received as useful, relevant, interesting, and challenging. Students in the pilot courses provided extensive feedback that was incorporated into this version of the course. Additionally, a central member of the team that wrote this course is an experienced chief of police who has served as chief in five departments in different states.

During this course you will learn new ways to understand and influence human performance. The course is organized into four areas that represent different factors that influence the way people in police organizations behave. (Note: Two of the four areas will be covered in this course, Unit I. The other two areas will be covered next semester in Unit 2.) In reality, factors from all four areas can be working at any moment to determine what a given member of your department does. But for the purposes of learning we have separated the material into four areas to make it easier for you to acquire new ideas. In practice, however, you must keep in mind that in order to lead effectively, you usually need to recognize and be able to influence many factors at the same time. The Model of Organizational Leadership shown as Figure 3, page 5, with you as the Focal Leader, represents this idea.

In Area I you will learn more about how to understand and influence individual members of your department. The first two lessons make up the Conceptual Foundation of the course. Here you will learn a new definition of leadership that is the foundation of everything in this course, as well as new ways to think about what leaders do. The main thing that leaders do is to close the gap between observed and expected or desired performance by the followers, see Figure 1, page xiii. Leaders also are responsible for developing the full potential of their followers so that these individuals grow and become leaders themselves who will be capable of leading in your department in the future. Leaders also are responsible for developing the various teams and the department as a whole so that the leader's legacy is a better team or department capable of even more effective service to the community in months and years to come.

No course on leadership can prepare you for all possible future leadership situations. So, in addition to new ways to understand and influence people as individuals, we will also introduce a problem-solving model for leaders in the Conceptual Foundation and Area I. This model may look similar to problem-solving models you may have previously learned such as the SARA model because most problem-solving models are adaptations of something called the scientific method. This model will be introduced step by step in the first few lessons so that you develop your ability to use it effectively in working on case studies during the course, in writing journals, and, most importantly, when you act as a leader in your department. The Leader's Thought Process depicts a consistent three

basic steps. The first step in leading is to be **observant, all the time**, and to notice what is happening from the leader's point of view. Some things you notice as a leader will require you to take action. These are called *areas of interest* or AOI's. But before acting you will need to answer the second question which is why is this happening. The concepts you learn in this course will help you answer this second question, and, most importantly, the course material will help you answer the third question which is what do I do about this as a leader. Through practice in using this way of thinking, you will significantly increase your ability to be a creative problem solver in the future leadership situations you encounter in your work.

Starting with lesson three, you begin to learn about what makes people different and also alike and, therefore, more predictable. For example, people change in predictable ways over a lifetime and leaders are more effective when they understand the issues people face at different stages of life. An increasingly important way in which people differ has to do with the generation of which they are a member. The things that occur while people are growing up have lasting effects that leaders must understand and be able to take into account when leading others. One of the key insights from the study of generational differences is that leaders have to change their leadership in order to influence people from different generations. In lesson three you will also learn how to understand and influence such sources of individual differences as perception, personality, experience, thinking styles, and other sources of individual differences that combine to produce our behavior from one situation to the next. Knowing how people differ will help you to lead more effectively because good leaders do not lead everyone the same way.

Lesson four is about how people make sense of what they see others do. We seem to naturally want to determine cause and effect and to assign responsibility or blame to the appropriate person(s). And in police work, accountability depends upon accurate judgments of cause and effect. Understanding how people attribute responsibility to the behavior of others is a vital leadership skill because people typically make significant errors in judging cause and effect. Learning how to overcome these tendencies or attribution biases helps you become a much more discerning and accurate judge of human performance in an age of increasing demands for accountability.

If there is one skill that is associated with leadership, it is motivation. Lessons five through eight cover several theories of motivation that will help you become more flexible and effective in motivating your followers. Here is a sample of what you will learn. Leaders need to know how to skillfully use rewards to motivate desired performance and how and when to punish to stop undesirable behaviors. Because people think, perceive and interpret their world uniquely, motivations may and often do vary from follower to follower based on their perceptions and beliefs about questions such as "Can I do what I am expected to do? If I do it well, will there be a reward? If there is a reward, is it something that I personally care about or not?" If any of these questions is answered in the negative, then motivation will be low or even completely missing. Hence leaders need to know how to change these three perceptions to restore or increase motivation among your followers. Most people are very sensitive to perceptions of fairness and inequity. You will learn how to deal with inaccurate perceptions of inequity that arise all the time and how to increase motivation by restoring perceived equity among your followers. Most organizations lack clear, measurable goals, yet setting goals

is one of best ways to motivate followers. So leaders must know how to set goals that motivate at every level of your department. Leaders can create motivation for others by understanding how the nature of work itself can be motivating or turn people off every day because jobs are poorly designed. Much of police work can and should be highly motivating, but that will only occur if leaders such as you understand what aspects of a job are motivating, and why, so you can make sure the jobs you assign to those you lead will be as motivational as possible. The last motivation idea that you will study can be the most powerful form of motivation available to leaders. Instead of the leader having to supply motivation through rewards and challenging, meaningful goals, leaders can also awaken intrinsic motivational forces that vary from follower to follower. Many people are highly motivated by interesting work assignments over which they have some say and the opportunity to become really good at a task. When you activate intrinsic motivational forces, you can turn your attention to other matters.

The last lesson in Area I that introduces new concepts may seem out of place at first as you start a course on leadership. Why should leaders learn about followership? There are at least two good reasons. First, every leader is also following another leader. If you are a patrol sergeant, then you lead police officers and follow your lieutenant who follows other leaders with greater responsibilities. Second, no leader has a magic wand that will allow him or her to lead everyone anywhere. In fact, followers, in contrast to subordinates, decide whether to accept the leader's influence. When they do choose to follow, then they have certain obligations and responsibilities that must be accepted and performed well in order to be good followers. Followers also have to be concerned with the limits of followership as in the case when a leader or another follower asks someone to do something that may be unethical or illegal. Good followers help leaders to look better than they might otherwise be. Together leaders and followers make leadership happen. When this doesn't work, those in positions of authority usually fall back on their legitimate authority and become bosses, supervisors, or managers instead of leading, and usually get reduced performance, motivation, and satisfaction from the followers as a consequence.

To help you put together what you have learned in each area, there is an Integration Lesson. The case study for this lesson will help you learn how to analyze a realistic situation and decide how to understand what is happening and what to do about it using all of the material you have learned in the course. In each of the previous lessons you have been limited to using only the new material to work a case study or write a journal. In the integration lesson you must use the Leader's Thought Process in a situation that is more complex and requires you to consider many possible explanations and leader actions before you decide how you will act.

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

DEFINING MOTIVATION[1]

We've talked about performance in its simplest form – as a function of a person's ability and motivation. Ability is relatively easy to define, identify, and in most cases do something about. Given the limitations of any person, we can either select people who already have certain abilities to do a job, or we can teach people the job. Motivation, on the other hand, is a more difficult concept to grasp. We define motivation as the "wanting to" aspect of human behavior. Individual motivation, however, is more than merely wanting to meet performance standards. The term motivation consists of three components: energy, direction, and persistence.

The word "motivation" comes from a Latin word meaning, "to move." So motivation implies something that energizes action. In an organizational context, leaders are not only interested in energized subordinates – that they must also direct that energy. Subordinates should work on something that contributes to an organization's goals and objectives. Generally, when we say a subordinate isn't motivated, we mean that he or she isn't motivated in the direction we desire. There actually may be considerable energy – it's just that it is directed at other things.

Persistence refers to how long and under what conditions subordinates work at a given task. Visualize a leader being absent from the scene for a period of time. During the absence, do subordinates continue to work? Do they work at the same rate and toward the same goals as they did when the leader was present? If they do, they've demonstrated persistence.

When we put together these three components – energy, direction and persistence – our definition of motivation can be stated as follows: Motivation is the sum of all internal and external forces that energize behavior, provide direction to the behavior, and determine the persistence of the behavior.

Note that there is another aspect of motivation contained here: the source of motivation. Motivation, of course, is something we cannot measure directly. Although we can ask subordinates about their motivation, usually we must be content to measure motivation by behavior. If people aren't working toward goals they know (and know how to reach), we can say that they're unmotivated toward those particular goals. If they do work toward the goal – but only when the leader is present – we can conclude that the source of their motivation is external to them.

However, when people work toward the goal even when the leader isn't around, we probably have subordinates who work hard because they like what they're doing – not merely because they're compelled to work. That is, the motivation persists because the source of

motivation is inside the individual. The motivation we seek as organizational leaders involves such attachment or commitment. We want committed performers who are satisfied with their work environment.

To establish relationships between motivation and performance, we need to understand the variables involved. We'll present several theories in this Area that help us understand the variables involved in motivation. We'll also develop certain motivation strategies that flow from these theories. In the lessons to come, we'll consider how people are motivated by what they think about what is happening around them, how they are influenced by the characteristics of their job, and how leaders can achieved desired behaviors by providing consequences to follower behavior.

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[1] Adapted from Associates of the Department the Behavior Sciences and Leadership. 1999. *Course Guide for Military Leadership: PL 300 (AY 99-00).* West Point, NY: Authors. p. 59.

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: Step II - Account for What is Happening

5. Case Study

6. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 3-1 thru 3-30.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must complete the following steps:

   I. *Identify* the Areas of Interest.

   II. *Analyze* the situation using Stages of Adult Development and/or Generational Differences. Specifically,

      A. *Identify* the logical chain of events.

      B. *Classify* the stage of adult development.

      C. *Identify* the major life issues associated with this stage of adult development.

      D. *Classify* the generational membership of the employee(s) and the leader(s).

      E. *Identify* the major issues associated with each generation's attitudes toward life and work.

   III. *Explain* an Area of Interest in terms of how the stage of development and/or generational membership affects a person's motivation, performance, and satisfaction. Additionally, identify the root cause.

THE INDIVIDUAL AS A PSYCHOLOGICAL SYSTEM[2]

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.

Figure 3-1. The Individual as a Psychological System[3]
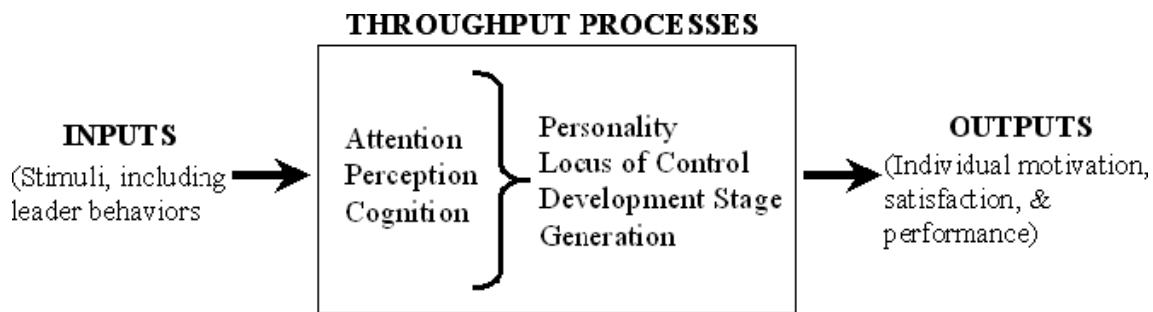
All humans exist within an environment. They respond to stimuli, process them in their own way, and create responses. The individual ways we do this can be better understood by looking at the different throughput processes as depicted in Figure 3-1.

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 their surroundings while 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.

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[2] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. pp. 29-43.
[3] *Ibid.* p. 34.

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. You may have experienced this first hand when you discussed individual solutions to the Lesson 2 case study. Each of your classmates has different experiences and interprets the limited information in the case study differently. Additionally, 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 plan fully 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. Fifty-two percent of the witnesses told investigators that 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? Why the wide variety of eye witness accounts?

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.

Of course, there are many components of personality. You may have taken the Myers-Briggs Type Inventory which measures one's individual personality traits on four dimensions: Extroversion versus Introversion, Sensing versus Intuition, Thinking versus Feeling, and Judging versus Perceiving.[4] Additionally, other researchers have put together personality surveys the most prominent and well researched of which is the NEO PI-R which measures: Neuroticism,

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[4] The Myers-Briggs Foundation. Undated. *MBTI® Basics*. Assessed at http://www.myersbriggs.org/my-mbti-personality-type/mbti-basics/ on July 18, 2011.

Extraversion, Openness, Agreeableness, and Conscientiousness.[5] Suffice it to say that as a practical matter, the aim of this initial lesson is to point out that every individual has different personality traits and 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.

Curious about your personality traits? There are many web sites that offer either the Myers-Briggs or NEO PI-R on line. Put either survey name into a computer search engine and navigate to a site to take the survey. These two web sites offer personality inventories for not cost:

http://www.personalitytest.net/types/index.htm

http://www.personalitytest.net/ipip/ipipneo120.htm[6]

Your Basic Personality Type

From one point of view, the Enneagram can be seen as a set of nine distinct personality types, with each number on the Enneagram denoting one type. It is common to find a little of yourself in all nine of the types, although one of them should stand out as being closest to yourself. This is your *basic personality type*.

Everyone emerges from childhood with *one* of the nine types dominating their personality, with inborn temperament and other pre-natal factors being the main determinants of our type. This is one area where most all of the major Enneagram authors agree—*we are born with a dominant type*. Subsequently, this inborn orientation largely determines the ways in which we learn to adapt to our early childhood environment. It also seems to lead to certain unconscious orientations toward our parental figures, but why this is so, we still do not know. In any case, by the time children are four or five years old, their consciousness has developed sufficiently to have a separate sense of self. Although their identity is still very fluid, at this age children begin to establish themselves and find ways of fitting into the world on their own.

<u>Enneagram Type 1 - The Reformer</u>
<u>Perfectionists, responsible, fixated on improvement</u>

People of this personality type are essentially looking to make things better, as they think nothing is ever quite good enough. This makes them perfectionists who desire to reform and improve; idealists who strive to make order out of the omnipresent chaos.

Ones have a fine eye for detail. They are always aware of the flaws in themselves, others and the situations in which they find themselves. This triggers their need to improve, which can be beneficial for all concerned, but which can also prove to be burdensome to both the One and those who are on the receiving end of the One's reform efforts.

The One's inability to achieve the perfection they desire feeds their feelings of guilt for having fallen short, and fuels their incipient anger against an imperfect world. Ones, however, tend to feel guilty about their anger. Anger is a "bad" emotion, and Ones strive sincerely and wholeheartedly to

be "good." Anger is therefore vigorously repressed from consciousness, bursting forth in occasional fits of temper, but usually manifesting in one of its many less obvious permutations - impatience, frustration, annoyance and judgmental criticality. For this reason, Ones can be difficult to live with, but, on the high side, they tend to be loyal, responsible and capable partners and friends.

Ones are serious people; they tend to be highly principled, competent and uncompromising. They follow the rules and expect others to do so as well. Because they believe so thoroughly in their convictions, they are often excellent leaders who can inspire those who follow them with their own vision of excellence. Reform movements are frequently spearheaded by Ones.

Ones are often driven and ambitious, and are sometimes workaholics. But whatever their professional involvement, they are definitely active, practical people who get things done. They are natural born organizers, listmakers who finish everything on the list, the last one to leave the office, the first one to return, industrious, reliable, honest and dutiful.

The relentlessness of their pursuit of the ideal can make Ones tense people who have a hard time relaxing and who unnecessarily deny themselves many of the harmless pleasures of life. They tend to be emotionally repressed and uncomfortable with expressing tender feelings; they generally see emotionality as a sign of weakness and lack of control. They are seldom spontaneous. They have multiple interests and talents however; they are self-reliant and seldom run out of things to do.

Ones are often intelligent and independent and can easily mistake themselves for Fives, but unlike Fives, Ones are primarily people of action, not thought. Ones tend to worry and are prone to anxiety and can sometimes mistype as Sixes, but they are far less affiliative than Sixes and their standards are not reached by seeking consensus with a group. Finally, the relentless pursuit of perfection can take its toll and lead to depression. At such times, a One can mistype as a Four. But Fours have a tendency towards self-indulgence whereas Ones are self-denying. Fours are emotionally expressive; Ones are emotionally constrained.

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[5] Costa, P. T. & McCrae, R. R. 1992. *NEO PI-R Professional Manual*. Lutz, FL: Psychological Assessment Resources, Inc. p.iv.
[6] Thanks to Dr. (Brigadier General Retired) Howard T. Prince of the LBJ School at the University of Texas – Austin.

Enneagram Type 2 - The Helper
Helpers who need to be needed

People of this personality type essentially feel that they are worthy insofar as they are helpful to others. Love is their highest ideal. Selflessness is their duty. Giving to others is their reason for being. Involved, socially aware, usually extroverted, Twos are the type of people who remember everyone's birthday and who go the extra mile to help out a co-worker, spouse or friend in need.

Twos are warm, emotional people who care a great deal about their personal relationships, devote an enormous amount of energy to them, and who expect to be appreciated for their efforts. They are practical people who thrive in the helping professions and who know how to make a home comfortable and inviting. Helping others makes Twos feel good about themselves; being needed makes them feel important; being selfless, makes Twos feel virtuous. Much of a Two's self-image revolves around these issues, and any threat to that self-image is scarcely tolerated. Twos are thoroughly convinced of their selflessness, and it is true that they are frequently genuinely helpful and concerned about others. It is equally true, however, that Twos require appreciation; they need to be needed. Their love is not entirely without ulterior motive.

Twos often develop a sense of entitlement when it comes to the people closest to them. Because they have extended themselves for others, they begin to feel that gratitude is owed to them. They can become intrusive and demanding if their often unacknowledged emotional needs go unmet. They can be bossy and manipulative, feeling entirely justified in being so, because they "have earned the right" and their intentions are good. The darkest side of the type Two fixation appears when the Two begins to feel that they will never receive the love they deserve for all of their efforts. Under such circumstances, they can become hysterical, irrational and even abusive.

Because Twos are generally helping others meet their needs, they can forget to take care of their own. This can lead to physical burnout, emotional exhaustion and emotional volatility. Twos need to learn that they can only be of true service to others if they are healthy, balanced and centered in themselves.

Twos can mistype themselves if they are not in an obvious helper role in their professional lives; they might not recognize the extent of their involvement in assisting others. This is especially true for male Twos, who have not received the same social rewards for helping as female Twos receive. Male Twos frequently mistype as Ones or Threes, the wings of type Two. Females, of all types, are bound to recognize some of the dynamics of type Two in their personalities, as such qualities have been socially reinforced. Female Nines, for instance, are especially prone to mistyping as Twos, particularly if they are the mothers of small children. But Nines are self-effacing and humble; Twos are proud and have a strong sense of their own worth.

Threes are self-assured, attractive, and charming. Ambitious, competent, and energetic, they can also be status-conscious and highly driven for advancement. They are diplomatic and poised, but can also be overly concerned with their image and what others think of them. They typically have problems with workaholism and competitiveness. *At their Best*: self-accepting, authentic, everything they seem to be—role models who inspire others.

Enneagram Type 3 - The Achiever
Focused on the presentation of success, to attain validation

People of this personality type need to be validated in order to feel worthy; they pursue success and want to be admired. They are frequently hard working, competitive and are highly focused in the pursuit of their goals, whether their goal is to be the most successful salesman in the company or the "sexiest" woman in their social circle. They are often "self-made" and usually find some area in which they can excel and thus find the external approbation which they so desperately need. Threes are socially competent, often extroverted, and sometimes charismatic. They know how to present themselves, are self-confident, practical, and driven. Threes have a lot of energy and often seem to embody a kind of zest for life that others find contagious. They are good networkers who know how to rise through the ranks. But, while Threes do tend to succeed in whatever realm they focus their energies, they are often secretly afraid of being or becoming "losers."

Threes can sometimes find intimacy difficult. Their need to be validated for their image often hides a deep sense of shame about who they really are, a shame they unconsciously fear will be unmasked if another gets too close. Threes are often generous and likable, but are difficult to really know. When unhealthy, their narcissism takes an ugly turn and they can become cold blooded and ruthless in the pursuit of their goals.

Because it is central to the type Three fixation to require external validation, Threes often, consciously and unconsciously, attempt to embody the image of success that is promoted by their culture. Threes get in trouble when they confuse true happiness, which depends on inner states, with the image of happiness which society has promoted. If a Three has a "good" job and an "attractive" mate, she might be willing, through an act of self-deception which is also self-betrayal, to ignore the inner promptings which tell her that neither her job, nor her mate are fulfilling her deeper needs. Even the most "successful" Threes, who generally appear quite happy, often hide a deeply felt sense of meaninglessness. The attainment of the image never quite satisfies.

Threes can sometimes mistype themselves when they mistake the more superficial features of their personalities as indicators of their type. So, for instance, an intellectual Three might mistype as a Five; a Three who is devoted to her role as mother might think she is a Two; a Three in a leadership position might mistype as an Eight and so on. Regardless of the manifestation however, the core of the type Three fixation is the deep need for external validation.

Enneagram Type 4 - The Individualist
Identity seekers, who feel unique and different

People of this personality type tend to build their identities around their perception of themselves as being somehow different or unique; they are thus self-consciously individualistic. Fours tend to see their difference from others as being both a gift and a curse - a gift, because it sets them apart from those they perceive as being somehow "common," and a curse, as it so often seems to separate them from the simpler forms of happiness that others so readily seem to enjoy. Thus, Fours can manage to feel superior to others while also secretly harboring some degree of longing and envy. A feeling of being a member of the "true aristocracy" alternates with deep feelings of shame, and fears of

somehow being deeply flawed or defective.

Fours are emotionally complex and highly sensitive. They long to be understood and appreciated for their authentic selves, but easily feel misunderstood and unappreciated. They have a tendency to withdraw in the face of a world that seems harsh or crude, and are often somewhat moody or temperamental. They are emotionally centered and spend much of their lives immersed in their internal mental landscapes, where they feel free to cultivate and analyse their feelings. A desire to manifest this internal world often leads Fours to an interest in the arts, and some do become actual artists. Whether artistic or not, however, most Fours are aesthetically sensitive and concerned with self-expression and self-revelation, whether it be in the clothes they wear or in the overall nature of their often idiosyncratic lifestyles.

Fours are somewhat melancholic by disposition, and under stress tend to lapse into depression. They also tend to be self-absorbed, even under the best of circumstances, but when unbalanced, easily give way to self-indulgence which they perceive as being fully justified as a way to compensate for the general lack of pleasure they experience in their lives. Rather than look for practical solutions to their difficulties, Fours are prone to fantasizing about a savior who will rescue them from their unhappiness.

Intellectual Fours tend to mistakenly type themselves as Fives, and a heavy wing can certainly exacerbate this tendency. Fours however, unlike Fives, tend to be self-revealing and comfortable with emotional expression.

Enneagram Type 5 - The Investigator
Thinkers who tend to withdraw and observe

People of this personality type essentially fear that they don't have enough inner strength to face life, so they tend to withdraw, to retreat into the safety and security of the mind where they can mentally prepare for their emergence into the world. Fives feel comfortable and at home in the realm of thought. They are generally intelligent, well read and thoughtful and they frequently become experts in the areas that capture their interest. While they are sometimes scientifically oriented, especially with the Six wing, just as many Fives are drawn to the humanities and it is not at all uncommon for Fives to have artistic inclinations.

Fives are often a bit eccentric; they feel little need to alter their beliefs to accommodate majority opinion, and they refuse to compromise their freedom to think just as they please. The problem for Fives is that while they are comfortable in the realm of thought, they are frequently a good deal less comfortable when it comes to dealing with their emotions, the demands of a relationship, or the need to find a place for themselves in the world. Fives tend to be shy, nonintrusive, independent and reluctant to ask for the help that others might well be happy to extend to them.

Fives are sensitive; they don't feel adequately defended against the world. To compensate for their sensitivity, Fives sometimes adopt an attitude of careless indifference or intellectual arrogance, which has the unfortunate consequence of creating distance between themselves and others. Trying to bridge the distance can be difficult for Fives, as they are seldom comfortable with their social skills, but when they do manage it, they are often devoted friends and life long companions.

Fives are usually somewhat restrained when it comes to emotional expression, but they often have

stronger feelings than they let on. Few people know what is going on beneath the surface, as Fives have an often exaggerated need for privacy and a deep-seated fear of intrusion. Because of their sensitivity and their fears of inadequacy, Fives fear being overwhelmed, either by the demands of others or by the strength of their own emotions. They sometimes deal with this by developing a minimalistic lifestyle in which they make few demands on others in exchange for few demands being made on them. Other Fives make their peace with the messiness of life and engage it more fully, but they almost always retain their fears that life is somehow going to demand more of them than they can deliver.

Fives, especially with the Four wings, sometimes mistype themselves as Fours. Such Fives recognize that they have strong emotions and don't identify with the often extremely cerebral portrait of type Five. But, Fives, unlike Fours, always retain some degree of discomfort when it comes to the expression of their emotional states. However much facility they may gain with it, the language of emotion is not their native tongue.

Enneagram Type 6 - The Loyalist
Conflicted between trust and distrust

People of this personality type essentially feel insecure, as though there is nothing quite steady enough to hold onto. At the core of the type Six personality is a kind of fear or anxiety. This anxiety has a very deep source and can manifest in a variety of different styles, making Sixes somewhat difficult to describe and to type. What all Sixes have in common, however, is the fear rooted at the center of their personality, which manifests in worrying, and restless imaginings of everything that might go wrong. This tendency makes Sixes gifted at troubleshooting, but also robs the Six of much-needed peace of mind and tends to deprive the personality of spontaneity. The essential anxiety at the core of the type Six fixation tends to permeate the personality with a sort of "defensive suspiciousness." Sixes don't trust easily; they are often ambivalent about others until the person has absolutely proven herself, at which point they are likely to respond with steadfast loyalty. The loyalty of the Six is something of a two-edged sword, however, as Sixes are sometimes prone to stand by a friend, partner, job or cause even long after it is time to move on.

Sixes are generally looking for something or someone to believe in. This, combined with their general suspiciousness, gives rise to a complicated relationship to authority. The side of the Six which is looking for something to believe in, is often very susceptible to the temptation to turn authority over to an external source, whether it be in the form of an individual or a creed. But the Six's tendency towards distrust and suspicion works against any sort of faith in authority. Thus, two opposite pulls exist side by side in the personality of enneatype Six, and assume different proportions in different individuals, sometimes alternating within the same individual.

The truly confounding element when it comes to typing Sixes is that there are two fundamentally different strategies that Sixes adopt for dealing with fear. Some Sixes are basically phobic. Phobic Sixes are generally compliant, affiliative, and cooperative. Other Sixes adopt the opposite strategy of dealing with fear, and become counterphobic, essentially taking a defiant stand against whatever, they find threatening. This is the Six who takes on authority or who adopts a daredevil attitude towards physical danger. Counterphobic Sixes can be aggressive and, rather than looking for authorities, can adopt a rebellious or anti-authoritarian demeanor. Counterphobic Sixes are often unaware of the fear that motivates their actions. In fact, Sixes in general, tend to be blind to the extent of their own anxiety. Because it is the constant back drop to all of their emotions, Sixes are

frequently unaware of its existence, as they have nothing with which to contrast it.

Because Sixes so frequently fail to appreciate the extent of their own fear, they often mistype themselves. It is common for instance, for female Sixes to mistype as Twos, especially if they are identified with a helper role, but Sixes have a much more ambivalent attitude towards relationships than do Twos, who generally know exactly what they want. Sixes, failing to recognize their anxiety, can mistype as Nines, but Nines have the ability to relax and to trust in others, neither of which come easily to Sixes. Sixes can mistype as Fours, especially if they have artistic inclinations, but they lack the Four's self-absorption. They can mistype as Fives, especially if they are intellectual, as many Sixes are, but unlike Fives, Sixes tend to be practical. Finally, counterphobic Sixes can easily mistype as Eights, but they lack the Eight's self-certainty.

Enneagram Type 7 - The Enthusiast
Pleasure seekers and planners, in search of distraction

People of this personality type are essentially concerned that their lives be an exciting adventure. Sevens are future-oriented, restless people who are generally convinced that something better is just around the corner. They are quick thinkers who have a great deal of energy and who make lots of plans. They tend to be extroverted, multi-talented, creative and open-minded. They are enthusiasts who enjoy the pleasures of the senses and who don't believe in any form of self-denial.

Sevens are practical people who have multiple skills. They know how to network and to promote themselves and their interests. They often have an entrepreneurial spirit and are able to convey their enthusiasm to those with whom they come in contact. When they are able to focus their talents, they are often highly successful. Focusing does not always come easily for Sevens, however. Their tendency to believe that something better awaits them, makes them reluctant to narrow down their options or to pursue their aims with true devotion.

The central problem for Sevens is that their pursuit of pleasure is compulsive. Sevens are fear types who are specifically afraid of the power of negative states of mind. These they avoid by seeking distractions in the external environment: by multi-tasking, by keeping their options open, by engaging in stimulation seeking of all kinds. For this reason, Sevens are more prone than most to addictions of all sorts, whether it be to shopping, gambling, drugs or whatever.

Sevens usually have a high opinion of themselves and their talents; they tend to focus on their strengths and virtues and to downplay their flaws and vices. They are often a bit self-centered which manifests in an unfounded feeling of entitlement. As Sevens don't want to confront their own darker emotions, they also have difficulty acknowledging the pain that others experience, so that they sometimes have a hard time seeing the reality of other people. The extent of the Seven's flight from negative emotions is really a measure of the Seven's mental health; the more that the Seven flees from them, the more their strength grows and the more likely they are to erupt into consciousness in the form of an anxiety disorder or a severe depressive episode.

As they are outward-looking and not especially prone to introspection, it is not uncommon for Sevens to mistype themselves. Sometimes they mistype as Eights, as Sevens too can be domineering, especially if Eight is the dominant wing. But Eights are not anxious, and they lack the quick, mental energy that is characteristic of the Seven. Sevens can easily be mistype as Threes, but Threes are much more single-minded than Sevens and don't suffer from the desire to keep all

options open. Surprisingly, Sevens can mistype as Fours. When they recognize the disparity between the optimistic, fun-loving persona that they project to the world and their own, often anxious internal mental states, they can confuse their pain with the melancholia of type Four. Sevens are in flight from this pain, however, whereas Fours often cultivate their negative mental states.

Enneagram Type 8 - The Challenger
Taking charge, because they don't want to be controlled

People of this personality type are essentially unwilling to be controlled, either by others or by their circumstances; they fully intend to be masters of their fate. Eights are strong willed, decisive, practical, tough minded and energetic. They also tend to be domineering; their unwillingness to be controlled by others frequently manifests in the need to control others instead. When healthy, this tendency is kept under check, but the tendency is always there, nevertheless, and can assume a central role in the Eight's interpersonal relationships.

Eights generally have powerful instincts and strong physical appetites which they indulge without feelings of shame or guilt. They want a lot out of life and feel fully prepared to go out and get it. They need to be financially independent and often have a hard time working for anyone. This sometimes necessitates that the Eight opt out of the system entirely, assuming something of an outlaw mentality. Most Eights however, find a way to be financially independent while making their peace with society, but they always retain an uneasy association with any hierarchical relationship that sees the Eight in any position other than the top position.

Eights have a hard time lowering their defenses in intimate relationships. Intimacy involves emotional vulnerability, and such vulnerability is one of the Eight's deepest fears. Betrayal of any sort is absolutely intolerable and can provoke a powerful response on the part of the violated Eight. Intimate relationships are frequently the arena in which an Eight's control issues are most obviously played out and questions of trust assume a pivotal position. Eights often have a sentimental side that they don't even show to their intimates, such is their fear of vulnerability. But, while trust does not come easily to an Eight, when an Eight does take someone into the inner sanctum, they find a steadfast ally and stalwart friend. The Eight's powerful protective instincts are called into play when it comes to the defense of family and friends, and Eights are frequently generous to a fault in providing for those under their care.

Eights are prone to anger. When severely provoked, or when the personality is unbalanced, bouts of anger can turn into rages. Unhealthy Eights are frankly agressive and when pushed, can resort to violence. Such Eights enjoy intimidating others whom they see as "weak" and feel little compunction about walking over anyone who stands in their way. They can be crude, brutal and dangerous.

Female Eights are far more likely to mistype than male Eights, as many of the traits typical to the type Eight personality have been discouraged in females. For the most part, however, it is other types who mistake themselves for Eights. This is especially common in male counterphobic Sixes who fail to recognize that their agression is a cover for a very deep seated anxiety. Sevens too, are prone to mistype as Eights, but Sevens lack the intensity of focus typical of the type Eight, and while both Sevens and Eights have high energy personalities, Eights have a physically based energy whereas the Seven's energetic pattern has a nervous, mental quality to it.

<u>Enneagram Type 9 - The Peacemaker</u>
<u>Keeping peace and harmony</u>

People of this personality type essentially feel a need for peace and harmony. They tend to avoid conflict at all costs, whether it be internal or interpersonal. As the potential for conflict in life is virtually ubiquitous, the Nine's desire to avoid it generally results in some degree of withdrawal from life, and many Nines are, in fact, introverted. Other Nines lead more active, social lives, but nevertheless remain to some to degree "checked out," or not fully involved, as if to insulate themselves from threats to their peace of mind. Most Nines are fairly easy going; they adopt a strategy of "going with the flow." They are generally reliable, sturdy, self-effacing, tolerant and likable individuals.

Nines tend to adopt an optimistic approach to life; they are, for the most part, trusting people who see the best in others; they frequently have a deep-seated faith that things will somehow work out. They desire to feel connected, both to other people and to the world at large. They frequently feel most at home in nature and generally make warm and attentive parents.

The Nine's inability to tolerate conflict sometimes translates into an overall conservative approach to change. Change can provoke unpleasant feelings and disrupt the Nine's desire for comfort. Less healthy Nines seem incapable of motivating themselves to move into action and bring about effective change. When change does come, however, as it generally will, Nines find that they are usually well able to adapt. They tend to be more resilient than they give themselves credit for. In fact, Nines tend not to give themselves enough credit in general, and their self-effacing attitude often seems to invite others to take them for granted or to overlook their often-significant contributions. This can cause subterranean anger to build inside the Nine's psyche, which can erupt into consciousness in occasional fits of temper which quickly blow over, but which more often manifests itself in passive-aggressive foot-dragging. Being overlooked is often a source of a deep sadness in Nines, a sadness that they scarcely ever give voice to.

Nines frequently mistype themselves as they have a rather diffuse sense of their own identities. This is exacerbated by the fact that Nines often merge with their loved ones and through a process of identification take on the characteristics of those closest to them. Female Nines frequently mistype as Twos, especially if they are the mothers of small children. Nines, however, are self-effacing whereas Twos are quite aware of their own self-worth. Nines also mistake themselves for Fours, but Nines tend to avoid negative emotions whereas Fours often exacerbate them. Intellectual Nines, especially males, are frequently mistype as Fives, but Fives are intellectually contentious whereas Nines are conciliatory and conflict avoidant.

The Enneagram at Work: Beware of Your Blind Spots!

BY <u>SAMANTHA MACKAY</u>

The nine Enneagram types spell out the primary strategy we adopted to survive childhood. By the time we enter the workforce we have gotten so good at using our survival strategy, it makes complete sense to deploy it on our unsuspecting colleagues.

However, like every good strategy, it has a dark side—a blindspot we couldn't foresee when we started using our foolproof approach. Something that will keep us trapped, hurting ourselves and the people around us until we can step out of it.

For Twos, Threes and Fours their survival strategy stems from a core fear around their value and identity: being unwanted, being worthless or being insignificant, respectively.

- The Two figures out the trick to making anyone like them and focuses on being endlessly helpful to others. But who is looking after them?

- The Three knows how to look successful in any group and constantly adapts their self-image to look like a winner. But when do they get to just be themselves?

- The Four dives deep into her emotional world, looking for clues as to what makes them special. But do they forget that others can never truly see inside of them?

Survival strategies for Fives, Sixes and Sevens focus on avoiding pain: from others emotional demands, others actions and their own emotions, respectively.

- A Five builds physical and intellectual walls to keep people from depleting their energy. But can they ever appreciate people as a source of support?

- A Six constantly scans the environment for danger, prepared for any catastrophe. But when do they get to feel safe?

- A Seven imagines everything is fabulous, beautiful and delightful, always. But when will they let reality in?

The survival strategies for Eights, Nines and Ones are a response from being neglected, overlooked or criticized. They respond by being strong, blending in or being excessively good.

- With an Eight's constant show of strength, when do they get to be vulnerable?

- If a Nine constantly blends in, when is it okay to stand out?

- Being good all the time takes work, when does a One get to have some fun?

We unleash all of that the moment we walk into a new office, a new team or a new job. And showing up as our best selves requires accepting and working with our deeper fears.

Two's Workplace Blindspot

Twos excel at pleasing people. The strength they have honed over the years is reading a person's likes and needs and developing a strategy for building a relationship with them before they have even spoken.

While helping others may appear altruistic, it is a strategy to serve Twos' deeper need for being included in the group.

They will strive to provide excellent customer service but can become exhausted, resentful ,and frustrated as no one is helping them in return. This can look like struggling to say no, set expectations and boundaries, sugarcoating feedback, and being nice even when they know they are being taken advantage of.

If they aren't yet ready to acknowledge their own feelings and needs, they will work on manipulating the situation to get their needs met without having to ask. Their survival strategy shifts into giving-to-get with ulterior motives, which will ultimately leave them more disconnected with people, but they won't realize they are doing it.

That's because they are blind to their own needs. To create more balance at work, they need to accept that clearly articulating their needs won't make them less likable, or helpful.

Three's Workplace Blindspot

Threes are winners, compulsively productive, and always looking good. Like a Two they are adept at reading people, although a Three is reading markers of material success. Possessions, assets, achievements, attractiveness, degrees, titles, cars, holidays, whatever the culture defines as success, they will work hard to acquire.

Threes love to work, keeping up the pace and the focus until the goal is achieved. Given their ability to read an audience, they are great at sales, adjusting their presentation style to meet the goal.

However, because the win is more important than the truth, they can cut corners, and be unethical or aggressive. They will topple people who stand between them and their goals. The more they wrapped up in looking good and worthy, the less they know themselves.

Threes are blind to their need to be appreciated for who they are, not what they bring to the table. To create balance at work, Three's need to accept they are more than their work and take time to build relationships without the shiny armor.

Four's Workplace Blindspot

Unlike Threes, Fours are gifted at authentic self-expression, adept at accessing and empathizing with deep emotions. They want to be appreciated for who they are on the inside and seek to connect with others in the same way.

Fours will bring passion, dedication, and creative thinking to work they find meaningful. They have an artistic eye and are gifted at making things aesthetically pleasing.

However, they struggle with fakeness, efficiency over artistic expression, and when others feel weird talking about emotions at work. This can send them back into their internal world to understand what's wrong, while externally, they will appear to be moody and temperamental.

Fours are blind to the positive aspects of who they are and what they do. To find balance, Fours need to shift their focus to what's working and being grateful for what is good in their lives.

Five's Workplace Blindspot

Fives are quietly authoritative, maintaining strong boundaries from people in order to give their intellect space and time to work its magic. They will likely make original contributions in their field and enjoy sharing insights in an area they have deep intellectual interest.

Fives are self-sufficient and autonomous, quietly going about their work, collecting data and retreating to their office to analyze and process. More comfortable with information than people, they will be private, objective and self-deprecating.

But Fives are deeply uncomfortable with emotions, falsely believing that emotions, theirs and others, will deplete their energy and thus their ability for deep intellectual analysis. Isolating themselves from emotions makes it harder to feel connected and excited about their work and the people in their lives.

Fives are blind to the value of emotions and having deeper relationships with people. By realizing that they are not at the whim of others emotions, but rather have the ability to generate their own energy they can start to allow people into their work and life.

Six's Workplace Blindspots

Sixes are gifted troubleshooters, seeing trouble coming a mile away. They are deeply skeptical of authority which keeps them attuned for ulterior motives and are skilled at assessing risks, and analyzing scenarios.

Sixes think in terms of contingency planning for worst case scenarios. They are calm in a crisis, as they have considered all the possible scenarios and the best response to them. They will slow down a process to ensure all the risks have been considered and it's safe to proceed.

However, as Sixes are always looking for what will go wrong, they often overlook what is going right. They struggle to turn off their danger scanner, and their constant doubt about people's motives makes it hard to trust people, including themselves.

Sixes are blind to their own fears, projecting them onto the outside world. To create balance Sixes can develop inner confidence, connecting to their feelings, intuition and inner sense of power, to direct their own life and release the fear of being at the mercy of external forces.

Seven's Workplace Blindspots

Sevens are the optimistic visionary, imagining all sorts of future possibilities, drawn to anything fun, exciting or intellectually stimulating. They are the office brainstormers, the unlimited optimists, and enthusiastic supporters of any crazy idea.

Sevens enjoy work as long as its quick paced, fun, meetings are quick and no one instantly shoots down their ideas. They bring a positive spin to any challenges and use humor and charm to win people over. Sevens love to be distracted by new people and new ideas that keep their minds and bodies in motion.

Sevens do not like to slow down and it can be hard to talk to them about what isn't working, and they might lose enthusiasm for a project if you do. The fear of boredom drives them to keep up the pace and would rather exhaust themselves than slow down.

They blind themselves to reality to avoid feelings like anxiety, pain, discomfort and boredom, fearing that these emotions have the power to trap them forever and thus limiting their existence. Sevens benefit from accepting there is beauty in the present moment and will find balance by slowing down.

Eight's Workplace Blindspot

Decisive, powerful and larger than life, Eights fearlessly move things forward. Direct, assertive and opinionated, they are adept at establishing their own power base from which to act.

Filled with self-confidence, Eights are clear on the long term direction and continually move forward without fear of failure, challenges, conflict or anything else that threatens to slow down a project. Eights easily command respect, taking charge at times in a rather bullish way, just ordering people around.

Their aggressive style will intimidate some people, driving them away. Others will struggle to share their opinions when an Eight is in steamroll mode. All of which result in an outcome that, if the Eight is willing to be honest with themselves, is not what they truly intended.

Eights are blind to the power of vulnerability. They perceive their feelings, and that of others, as a weakness others could manipulate them with. Instead, Eights can find balance recognizing the strength in feelings, how they make them more approachable to others, and provide greater clarity over who you are.

Nine's Workplace Blindspots

Nines are gifted at building consensus and creating harmony at work. They are skilled at diplomacy and seeing the commonalities in opposing positions.

Nines set aside their own agenda, going out of their way to help others, friendly and agreeable, they automatically find ways to defuse the tension by being witty, gentle and kind. Not quick to make a decision, they take the time to understand everyone's perspective and align with the group.

Nines try not to stand out in anyway. They will never confront you rather, "forgetting" to do what you asked for. Saying yes when they really mean no. All of which creates conflict and disharmony.

Nine's blindspot is their own opinion. Their inability to express an opinion creates conflict, especially when their resentment of being overlooked translates into passive-aggressive behavior. Nine's start to acknowledge it's okay to have an opinion, to be stressed or angry.

One's Workplace Blindspot

Ones are the Masters of Quality control. They strive for excellence in all they do, building and following processes that only lead to the highest quality outcomes. Anything less than 100%, is wrong.

One's incredibly high, almost unattainable standards, are set by their strong inner critic. The inner critic sees errors and inconsistencies everywhere, which must be addressed if the One is to ensure a job is well done. Detail-oriented, ethical and responsible, Ones consistently focus on doing the right thing.

They also want to ensure everyone else is doing the right thing. Ones 'help' frequently translates as criticizing others. Frustrated by others lackadaisical approach, they will take on their tasks, fearing if they don't everything will fall apart.

The One's blindspot is their inner critic, and not appreciating how it drives them towards unattainable standards. The self-criticism undermines their self-confidence, and criticizing others just pushes them away instead of helping them. Ones can start by acknowledging their inner critic isn't truly a part of them, frees up some mental space to explore that everything is always perfectly imperfect and the world won't fall apart if we have a little fun at work.

Wrapping Up

None of us can help inflicting some of our childhood survival strategies onto our colleagues, and it certainly makes work a little more interesting. Accepting that none of us are immune from needing to stare a little harder at our own workplace obsessions, will go a long way to making the office a little better for everyone.

ADULT DEVELOPMENT THEORY[7]

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, revealed a predictable pattern to the way human beings develop. **Adult Development Theory** observes that people struggle to balance the personal and professional aspects of their lives. As individuals settle on a balance between these two aspects, they make a plan and set goals to implement the balance in their lives. Levinson call this type of stage a structure-building or stability periods when they have decided what they want and are actively engaged in pursuing it. Alternatively, people experience structure-changing or transition periods when they are pondering alternatives to the balance of the personal and professional aspects of their lives and question the 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:
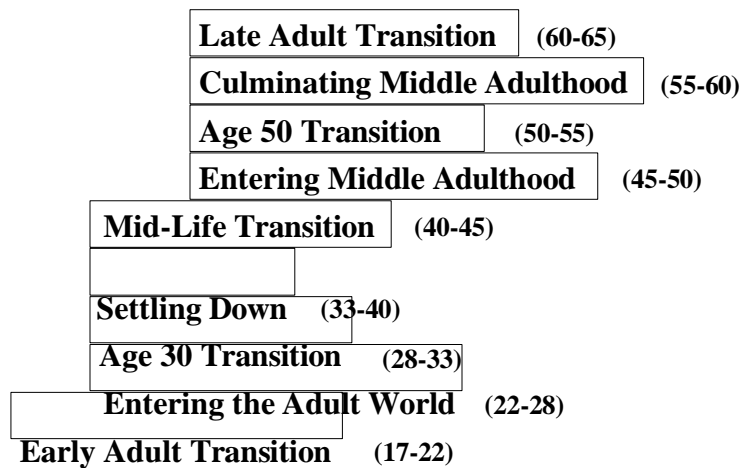
1. What are the approximate age ranges of each stage?

2. What major issues is the individual dealing with in each stage?

3. How do the major issues of each stage affect motivation, performance, and satisfaction at work, and what are the implications for the leader?

You will encounter people at many different stages of adult development in your work organization the most likely of which are:

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 so people in this stage often ponder two or more opposing tasks. You've undoubtedly seen a 20 something that tries to work, go to school, and other diverse tasks to explore and keep options open.

Figure 3-2. Stages of Adult Development[8]

Adult Development
The Employment Years

Late Adult Transition	(60-65)	
Culminating Middle Adulthood	(55-60)	
Age 50 Transition	(50-55)	
Entering Middle Adulthood	(45-50)	
Mid-Life Transition	(40-45)	
Settling Down	(33-40)	
Age 30 Transition	(28-33)	
Entering the Adult World	(22-28)	
Early Adult Transition	(17-22)	

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

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[8] Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 45.

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)[9]. 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.

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[7] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. pp. 43-49.

[9] Steps 7 – 9 are adapted from Prince, H. T., Halstead, J. F., & Hesser, L. M. (2002). *Leadership in Police Organizations™*. New York: McGraw-Hill – Primis Publications. pp. 39-40.

GENERATIONAL DIFFERENCES

Generations

Prepared by: James V. Gambone, Ph.D.
Senior Partner, Points Of View, Inc.
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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 – Born 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 Heffner 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 Couglan'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.

<div align="center">

Boomer Generation – Born 1945-1963

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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 – Born 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 pardons Nixon 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 – Born 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
- 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.

Generation Z refers to the generation born between 1997-2012

Generations provide the opportunity to look at Americans both by their place in the life cycle – whether a young adult, a middle-aged parent or a retiree – and by their membership in a cohort of individuals who were born at a similar time.

As we've examined in past work, generational cohorts give researchers a tool to analyze changes in views over time. They can provide a way to understand how different formative experiences (such as world events and technological, economic and social shifts) interact with the life-cycle and aging process to shape people's views of the world. While younger and older adults may differ in their views at a given moment, generational cohorts allow researchers to examine how today's older adults felt about a given issue when they themselves were young, as well as to describe how the trajectory of views might differ across generations.

Pew Research Center has been studying the Millennial generation for more than a decade. But by 2018, it became clear to us that it was time to determine a cutoff point between Millennials and the next generation. Turning 38 this year, the oldest Millennials are well into adulthood, and they first entered adulthood before today's youngest adults were born.

In order to keep the Millennial generation analytically meaningful, and to begin looking at what might be unique about the next cohort, Pew Research Center decided a year ago to use 1996 as the last birth year for Millennials for our future work. Anyone born between 1981 and 1996 (ages 23 to 38 in 2019) is considered a Millennial, and anyone born from 1997 onward is part of a new generation.

Generation Z dominates online searches for information on the post-Millennial generation

Relative U.S. search volume of generation terms (Google Trends)
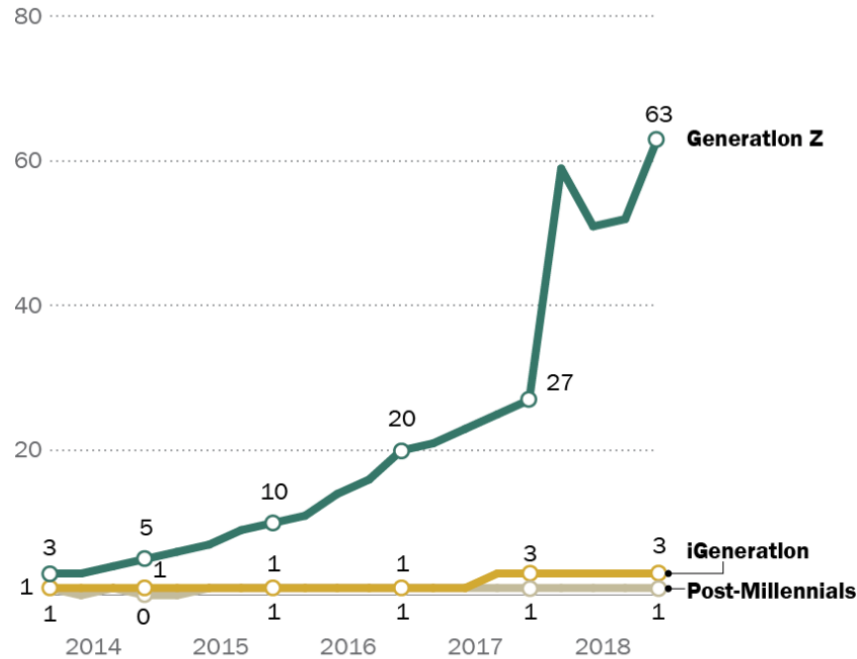
Note: Google Trends data are based on weekly query volume for a given query relative to the highest weekly volume of any queries being compared within the time period and geographic region examined. The maximum relative search volume in the period is 100. The trends above are quarterly averages of weekly relative search volume and include shortened versions of search terms (for example, "Generation Z" also includes "Gen Z"). Values do not reflect the absolute number of searches.
Source: Pew Research Center analysis of Google Trends (accessed Jan. 8, 2019).

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Since the oldest among this rising generation is just turning 22 this year, and most are still in their teens or younger, we hesitated at first to give them a name – Generation Z, the iGeneration and Homelanders were some early candidates. (In our first in-depth look at this generation, we used the term "post-Millennials" as a placeholder.) But over the past year, Gen Z has taken hold in popular culture and journalism. Sources ranging from Merriam-Webster and Oxford to the Urban Dictionary now include this name for the generation that follows Millennials, and Google Trends data show that "Generation Z" is far outpacing other names in people's searches for information. While there is no scientific process for deciding when a name has stuck, the momentum is clearly behind Gen Z.

Generational cutoff points aren't an exact science. They should be viewed primarily as tools, allowing for the kinds of analyses detailed above. But their boundaries are not arbitrary. Generations are often considered by their span, but again there is no agreed upon formula for how long that span should be. At 16 years (1981 to 1996), our working definition of Millennials is equivalent in age span to their preceding generation, Generation X (born between 1965 and 1980). By this definition, both are shorter than the span of the Baby Boomers (19 years) – the only generation officially designated by the U.S. Census Bureau, based on the famous surge in post-WWII births in 1946 and a significant decline in birthrates after 1964.

Unlike the Boomers, there are no comparably definitive thresholds by which later generational boundaries are defined. But for analytical purposes, we believe 1996 is a meaningful cutoff between Millennials and Gen Z for a number of reasons, including key political, economic and social factors that define the Millennial generation's formative years.

The generations defined

GENERATION AGE IN 2019

Born 1997-2012

Generation Z
ages 7-22*

Born 1981-96

Millennials
ages 23-38

Born 1965-80

Generation X
ages 39-54

Born 1946-64

Boomers
ages 55-73

Born 1928-45

Silent
ages 74-91

1920   1940   1960   1980   2000   2020
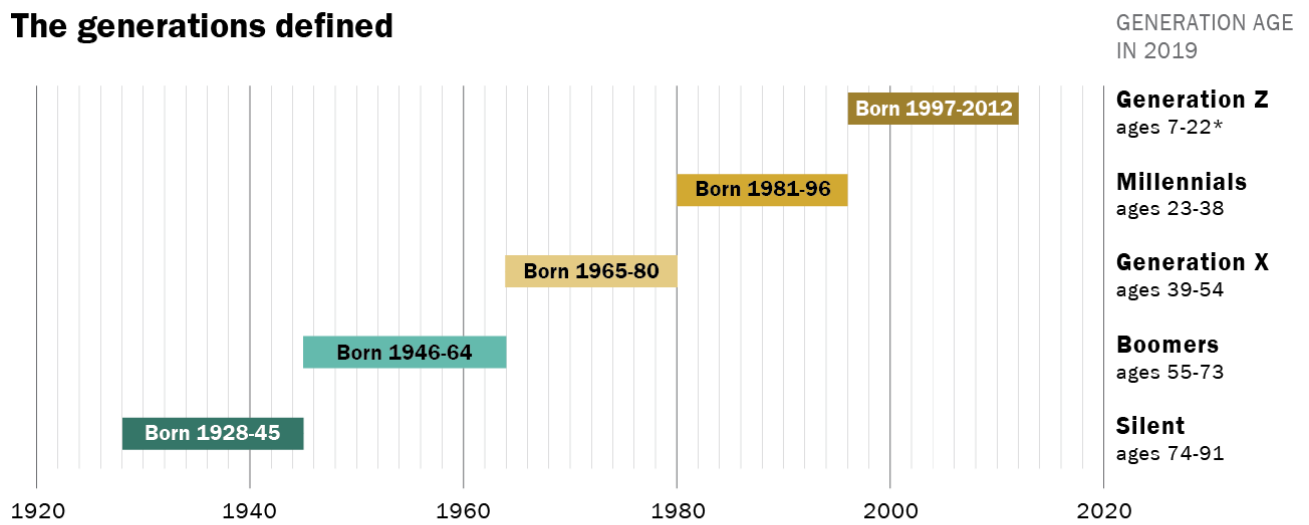
*No chronological endpoint has been set for this group. For this analysis, Generation Z is defined as those ages 7 to 22 in 2019.

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Most Millennials were between the ages of 5 and 20 when the 9/11 terrorist attacks shook the nation, and many were old enough to comprehend the historical significance of that moment, while most members of Gen Z have little or no memory of the event. Millennials also grew up in the shadow of the wars in Iraq and Afghanistan, which sharpened broader views of the parties and contributed to the intense political polarization that shapes the current political environment. And most Millennials were between 12 and 27 during the 2008 election, where the force of the youth vote became part of the political conversation and helped elect the first black president. Added to that is the fact that Millennials are the most racially and ethnically diverse adult generation in the nation's history. Yet the *next* generation – Generation Z – is even more diverse.

Beyond politics, most Millennials came of age and entered the workforce facing the height of an economic recession. As is well documented, many of Millennials' life choices, future earnings and entrance to adulthood have been shaped by this recession in a way that may not be the case for their younger counterparts. The long-term effects of this "slow start" for Millennials will be a factor in American society for decades.

Technology, in particular the rapid evolution of how people communicate and interact, is another generation-shaping consideration. Baby Boomers grew up as television expanded dramatically, changing their lifestyles and connection to the world in fundamental ways. Generation X grew up as the computer revolution was taking hold, and Millennials came of age during the internet explosion.

In this progression, what is unique for Generation Z is that all of the above have been part of their lives from the start. The iPhone launched in 2007, when the oldest Gen Zers were 10. By the time they were in their teens, the primary means by which young Americans connected with the web was through mobile devices, WiFi and high-bandwidth cellular service. Social media, constant connectivity and on-demand entertainment and communication are innovations Millennials adapted to as they came of age. For those born after 1996, these are largely assumed.

The implications of growing up in an "always on" technological environment are only now coming into focus. Recent research has shown dramatic shifts in youth behaviors, attitudes and lifestyles – both positive and concerning – for those who came of age in this era. What we don't know is whether these are lasting generational imprints or characteristics of adolescence that will become more muted over the course of their adulthood. Beginning to track this new generation over time will be of significant importance.

Pew Research Center is not the first to draw an analytical line between Millennials and the generation to follow them, and many have offered well-reasoned arguments for drawing that line a few years earlier or later than where we have. Perhaps, as more data are collected over the years, a clear, singular delineation will emerge. We remain open to recalibrating if that occurs. But more than likely the historical, technological, behavioral and attitudinal data will show more of a continuum across generations than a threshold. As has been the case in the past, this means that the differences within generations can be just as great as the differences across generations, and the youngest and oldest within a commonly defined cohort may feel more in common with bordering generations than the one to which they are assigned. This is a reminder that generations themselves are inherently diverse and complex groups, not simple caricatures.

In the near term, you will see a number of reports and analyses from the Center that continue to build on our portfolio of generational research. Today, we issued a report looking – for the first time – at how members of Generation Z view some of the key social and political issues facing the nation today and how their views compare with those of older generations. To be sure, the views of this generation are not fully formed and could change considerably as they age and as national and global events intervene. Even so, this early look provides some compelling clues about how Gen Z will help shape the future political landscape.

In the coming weeks, we will be releasing demographic analyses that compare Millennials to previous generations at the same stage in their life cycle to see if the demographic, economic and household dynamics of Millennials continue to stand apart from their predecessors. In addition, we will build on our research on teens' technology use by exploring the daily lives, aspirations and pressures today's 13- to 17-year-olds face as they navigate the teenage years.

Yet, we remain cautious about what can be projected onto a generation when they remain so young. Donald Trump may be the first U.S. president most Gen Zers know as they turn 18, and just as the contrast between George W. Bush and Barack Obama shaped the political debate for Millennials, the current political environment may have a similar effect on the attitudes and engagement of Gen Z, though how remains a question. As important as today's news may seem, it is more than likely that the technologies, debates and events that will shape Generation Z are still yet to be known.

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Generations Defined

	Builders 1925-1945 Aged 70s - 80s	Baby Boomers 1946-1964 Aged 50s - 60s	Generation X 1965-1979 Aged 30s - 40s	Generation Y 1980-1994 Aged 20s - early 30s	Generation Z 1995-2010 Aged kids - teens
Aust PM's US President	Robert Menzies John Curtin Truman / Eisenhower	Gough Whitlam Malcolm Fraser JFK / Nixon	Bob Hawke Paul Keating Reagan / GH Bush	John Howard Kevin Rudd Clinton / GW Bush	Julia Gillard Barack Obama
Iconic Technology	Radio (wireless) Motor Vehicle Aircraft	TV (56) Audio Cassette (62) Transistor radio (55)	VCR (76) Walkman (79) IBM PC (81)	Internet, Email, SMS DVD (95) Playstation, XBox, iPod	MacBook, iPad Google, Facebook, Twitter Wii, PS3, Android
Music	Jazz Swing Glen Miller Frank Sinatra	Elvis Beatles Rolling Stones Johnny O'Keefe	INXS Nirvana Madonna Midnight Oil	Eminem Britney Spears Puff Daddy Jennifer Lopez	Kanye West Rhianna Justin Bieber Taylor Swift
TV & Movies	Gone With the Wind Clark Gable Advent of TV	Easy Rider The Graduate Colour TV	ET Hey Hey It's Saturday MTV	Titanic Reality TV Pay TV	Avatar 3D Movies Smart TV
Popular Culture	Flair Jeans Roller Skates Mickey Mouse (28)	Roller Blades Mini Skirts Barbie®/Frisbees (59)	Body Piercing Hyper Colour Torn Jeans	Baseball Caps Men's Cosmetics Havaianas	Skinny Jeans V-necks RipSticks
Social Markers/ Landmark Events	Great Depression (30s) Communism World War II (39-45) Darwin Bombing (42) Charles Kingsford Smith	Decimal Currency (66) Neil Armstrong (69) Vietnam War (65-73) Cyclone Tracy (74) National Anthem (74)	Challenger Explodes (86) Haley's Comet (86) Stock Market Crash (87) Berlin Wall (89) Newcastle Earthquake (89)	Thredbo Disaster (97) Columbine Shooting (99) New Millenium September 11 (01) Bali Bombing (02)	Iraq / Afghanistan war Asian Tsunami (04) GFC (08) WikiLeaks Arab Spring (11)
Influencers	Authority Officials	Evidential Experts	Pragmatic Practitioners	Experiential Peers	User-generated Forums
Training Focus	Traditional On-the-job Top-down	Technical Data Evidence	Practical Case studies Applications	Emotional Stories Participative	Multi-modal eLearning Interactive
Learning Format	Formal Instructive	Relaxed Structured	Spontaneous Interactive	Multi-sensory Visual	Student-centric Kinesthetic
Learning Environment	Military style Didactic & disciplined	Classroom style Quiet atmosphere	Round-table style Relaxed ambience	Cafe-Style Music & Multi-modal	Lounge room style Multi-stimulus
Sales & Marketing	Print & radio Persuasive	Mass / Traditional media Above-the-line	Direct / Targeted media Below-the-line	Viral / Electronic Media Through Friends	Interactive campaigns Positive brand association
Purchase Influences	Brand emergence Telling	Brand-loyal Authorities	Brand switches Experts	No Brand Loyalty Friends	Brand evangelism Trends
Financial Values	Long-term saving Cash No credit	Long-term needs Cash Credit	Medium-term Goals Credit savvy Life-stage debt	Short-term wants Credit dependent Life-style debt	Impulse purchases E-Stores Life-long debt
Ideal Leaders	Authoritarian Commanders	Commanding Thinkers	Co-ordinating Doers	Empowering Collaborators	Inspiring Co-creators

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info@mccrindle.com.au

Generations snapshot

Here is a look at the different generation demographics:

Silent Generation/Traditionalists

Born before 1946

Seek comfort and financial security, traditional, loyal

Baby Boomers

Born 1946-1964

Strong work ethic, disciplined, focused

Generation X

Born 1965-1980

Entrepreneurial, value work-life balance, independent

Generation Y/Millennials

Born 1981-1996

Value work-life balance, confident, tech-savvy

Generation Z

Born after 1997

Independent, entrepreneurial, competitive

> "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.

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
From *Trendscope.net*, March 2002, 3 (3), http://www.trendscope.net.
Reprinted with permission of the author.[10]

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

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[10] This article appeared originally as cited above. The web site is now defunct and permission to use this article was obtained from the author, Dr. Michael J. Mazarr, at the National War College in Washington, DC.

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/1999/99 07/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.[11]

"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[12]

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. First, the leader must determine the logical chain of events, either by time or causal relationships. Second, the leader must analyze the situation by searching for information that can be understood using this course's leadership theories and concepts in order to understand why the Areas of Interest are happening. Third, the leader must explain why the Area(s) of Interest are occurring. Without a sound answer to "Why?" and "How?" a leadership challenge is happening, the leader will not be able to logically create the best plan for influencing his/her followers. To further clarify this sequence of events, let's look closer at each one as they occur in the Leader Thought Process.

Analyze: The initial leader action in this step is to determine the **Logical Chain of Events**. What is the time sequence of events in the situation. Alternately, is there a cause-and-effect relationship among the events. By determining what happened first, second, third, et cetera, a leader can begin to see what events have influenced employee performance and appreciate the causes for leadership challenges.

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[11] See Deal, J. 2007. Retiring the Generation Gap. Greensboro, NC: Center For Creative Leadership. Also http://www.ccl.org/leadership/forms/publications/publicationProductDetail.aspx?pageId=1262&productId=0787985252.

[12] Associates of the Department of Behavioral Sciences and Leadership. 1999. *Course Guide for PL 300: Military Leadership (AY 99-00)*. West Point, NY: Authors. pp. 72-73.

Having completed the Logical Chain of Events, the leader moves on by picking a theory that accounts for what is happening in the situation. 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 in the situation, and how can I organize and understand what I am observing using these variables?

Figure 3-3. The Leader Thought Process[13]
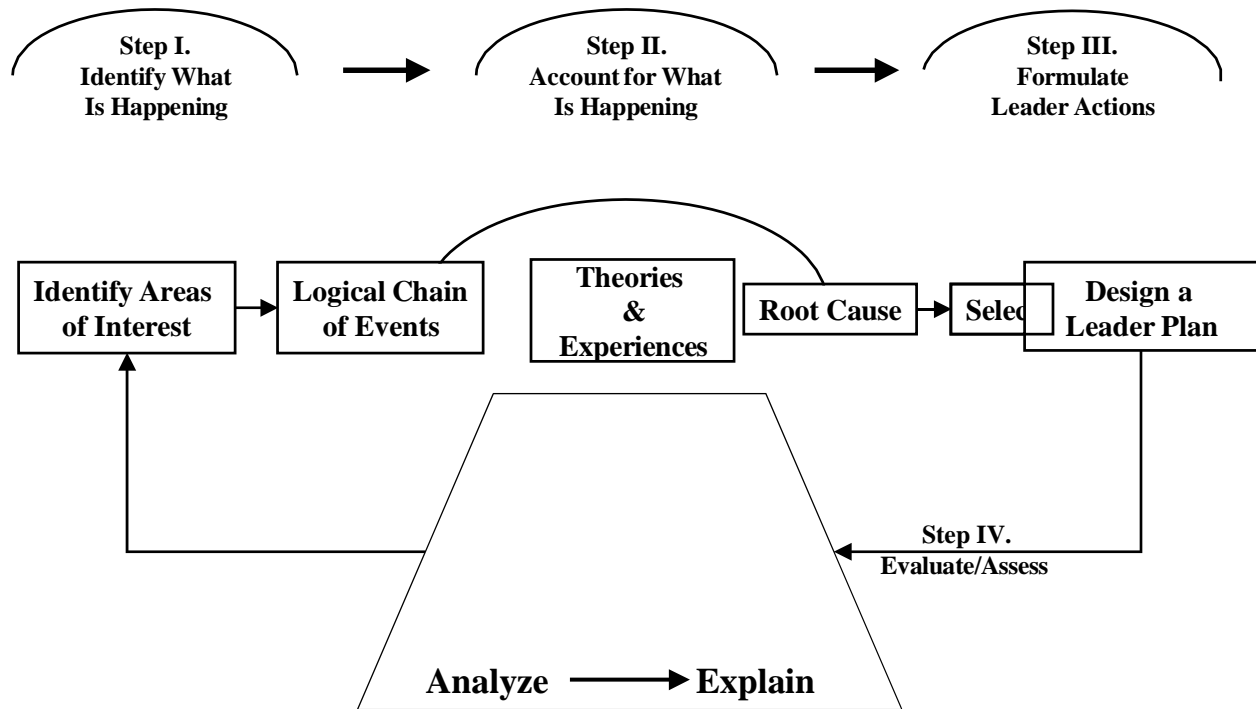
To determine if a particular theory can help you in a given situation, begin by searching for familiar patterns and relationships. All of the theories presented in this course have component parts and insights on human behavior. Do you find information in the situation that seems to fit one or more of 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. After the course is over and you are dealing with live situations, this step in your thought process will allow you to understand what questions to ask so you can gain sufficient information to understand why an employee is behaving as they are.

For example, you are now familiar with Adult Development Theory. If you are given a hypothetical (or real) leadership situation, 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. If so, they your understanding of Adult Development Theory will help guide you toward understanding the situation and perhaps suggesting potential solutions. For example, to analyze a situation through Adult Development Theory, a leader might ask the following questions:

1. In what stage of Adult Development is this employee?

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

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[13] Associates of the Department of Behavioral Sciences and Leadership. 1999. *Course Guide for PL 300: Military Leadership (AY 99-00).* West Point, NY: Authors. p. 71.

When these questions are answered clearly, then you have analyzed the situation through Adult Development Theory. A similar process can be followed for any of the theories that will be presented later 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 analyzing a situation in this manner, leaders gain insights into employee behavior and lead us to the next part of this step.

Explain: After we have analyzed a situation we must then use the analysis to answer "why" and "how" questions about our observations and show the relationship between the Areas of Interest and an individual's 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 Area(s) 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.

Following from our example above, the leader might conclude that the employee is in the Early Adult Transition Stage of Adult Development as he is in his early 20s and exhibits inconsistent work behavior and unprofessional actions as he experiments with his role as a young adult. Hence, you have looked at what is happening in the situation and found a theory that helps you explain why the follower is behaving as he is.

Last, the leader looks back over his/her analysis (the Logical Chain of Events, Analyze, and Explain actions) and attempts to find a **Root Cause** for the Areas of Interest. Identifying the Root Cause allows the leader to focus his/her efforts on a lasting, realistic solution which is the next step of the Leader Thought Process to be discussed in greater detail in the next lesson.

Establishing the root cause in our continuing example would be to say the person is behaving as they are because of their age and perhaps the absence of a good role model or some other root cause based in the specifics of the situation.

Step III. – Formulate Leader Actions: Select Strategies and Then Apply Them by Designing a Leader Action Plan

The Big Picture: Selecting the Best Strategy

Leaders act to make a difference. **Select** is a critical step of the Leader Thought Process and the first part of developing a leader action. 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.

Applying Strategies: Designing a Leader Action 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.

So, if, as we mentioned above, a person is not motivated because they have low expectancy, then in this step you would lay out a detailed plan on how you would increase the person's expectancy, for example provide a detailed plan on how you might provide training; provide more resources; clarify the desired behavior; break the desired behavior into smaller, more easily achievable chunks of work; or change the standard for the desired action.

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.

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 ask themselves "what information do I need to determine if my leadership is having the desired effects? How do I get the information I need? Who can help me get it? How often should I collect data and in what form should I collect it?" By reviewing your leader actions, you should be able to think of methods to evaluate future effectiveness. If, for example, the leadership challenge you faced involved a crime problem in the community (for example, auto theft) and marginal performance by an employee (Officer 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." (indications that our leader action is working)

However, we may also learn that "Burglaries from motor vehicles are up 25%" and that "Officer Jones has expressed a desire to kill herself" (indications that our leader action hasn't been successful and in fact we have more work to do). 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.

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[23] Associates of the Department of Behavioral Sciences and Leadership. 1999. *Course Guide for PL 300: Military Leadership (AY 99-00)*. West Point, NY: Authors. p. 74.

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Editor's note: For brevity sake, only references used to create this lesson are listed here. References for footnotes in material adapted from the above sources are not repeated here as the original footnotes contain sufficient information to locate the original material.

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)?

_____

_____

ATTRIBUTION THEORY

Introduction

This lesson consists of:

1. Attribution Theory

2. Case Study

3. Student Journal

Assignment

1. **Read Course Guide,** pages 4-1 thru 4-10.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must conduct the following steps:

    I. *Identify* the Areas of Interest.

    II. *Analyze* the situation using Attribution Theory.

        A. *Identify* the logical chain of events.

        B. *Identify* the attributional biases evident in the situation, if any.

        C. *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. Additionally, identify a root cause.

ATTRIBUTION THEORY[14]

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, organize, and interpret 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 witness identical circumstances; yet all can arrive at vastly different judgments. It is paramount that leaders recognize that their attributions are not objective and may lead to incorrect assessments of a situation and/or erroneous leader actions that do not address the real issue in a situation.

    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 or if success was due to some external factor like luck, being in the right place at the right time, et cetera. Attributions can be *internal* or *external.* An internal attribution means that the credit or blame for a behavior lies within the control of the person. They succeeded because they worked hard, had the skills, etc. An external attribution means that we give the blame or credit for the person's behavior to other factors beyond the person's control 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 shortages or equipment breakdowns. This is an external attribution. The customer, however, may make the internal attribution that the manufacturer is simply incompetent and failed to plan correctly.

Rational Factors

When making attributions, be they internal or external, 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 used to make attributions: *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 observer (or leader) may make an internal attribution in that the person is not capable of doing anything right. Conversely, if the person has excelled at other tasks, but fails on this project, the observer is more likely to say external factors are to blame for the failure which is an external attribution.

Consistency describes the person's performance of the same task on other occasions. If the person routinely performs this job poorly, an internal attribution will probably occur in that the observer concludes that the person isn't capable of doing this task. If the person normally does this job well but experiences problems one particular time, the observer would likely blame outside circumstances for this unusual outcome, thereby making an external attribution.

Consensus is an evaluation of how other people perform the same task. If other people normally succeed at this job but this employee is having difficulty, an observer would likely make an internal attribution in that others can do it so why not this person?

Certainly, there is room for error in applying the rational factors. But understanding that these factors occur during normal thought processes will (hopefully) cause a leader to look a bit deeper while identifying Areas of Interest or developing the leader action plan.

Biases

The other element in Attribution Theory, biases, causes even more mistakes in judging human behavior. While there are many found in research, five of these can play a direct role in the interactions between leader and follower:

1. *Fundamental Attribution Error* is the common tendency for an observer to overestimate internal factors and underestimate external/environmental factors when interpreting and explaining the behavior of others.

2. *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 for a failure – an external attribution – while at the same time the person observing the event (often the boss) puts blame on the actor – an internal attribution.

3. *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. If things go well, an internal attribution is made, but if things go poorly, an external attribution is made.

4. *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.

5. *Apology Effect* occurs when the leader is less likely to punish the follower who says he or she is sorry for their failure, 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 how many agencies handle an officer with a DUI. As soon as the person is taken into custody, certain actions occur automatically or without question. This policy approach to certain behavior takes all judgment (and attribution) out of the leader's assessments of the situation. Can you think of similar examples, where leader discretion is minimal or absent in your job?

However, when a leader uses judgment and takes action, there is a chain reaction effect upon the employees, the work 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 attributional 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.

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[14] Associates of the Department of Behavioral Sciences and Leadership. 1999. *Course Guide for PL 300: Military Leadership (AY 99-00)*. West Point, NY: Authors. pp. 48-51.

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SOCIALIZATION

Introduction

This lesson consists of:

5. Socialization
6. Case Study
7. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 13-1 through 13-24.

2. **Find and Read** your Department's Mission Statement, Goals, Values, and Goals/Objectives. Bring a copy to class.

3. When you solve a case study or act as a leader in your organization using the material in this lesson, you must conduct the following steps:

   I. ***Identify*** the Areas of Interest.

   II. ***Analyze*** how individuals are socialized into a group by describing the socialization process.

      A. ***Identify*** the logical chain of events.

      B. ***Identify*** the key socialization agents present in the situation, the processes they are trying to use, and the goals they hope to achieve.

      C. ***Identify*** the socialization goals that the leader is trying to achieve.

      D. ***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. Additionally, identify a root cause.

   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.

SOCIALIZATION[64]

What Is Socialization?

You've worked hard to build a high performing group. Now you face the inevitable – personnel transfers. How do you bring new individuals into your high performing group with minimal disruption to mission accomplishment? How do new personnel learn their role in the shortest possible time? The answer: You create and use a deliberate training process that imparts what's needed for new personnel to function in the group. This process of learning a new role is called 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.

     However, people must also 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."[65]

     To really understand socialization, remember that people bring certain skills, behaviors,

attitudes, and values to an organization. Using the open-system model, 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 by the new person, and innovative input to the group. Ultimately, the end product of socialization may be viewed as 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 to which they belong.

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.[66] 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 taking them as their own. 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. We'll discuss this more in the Leader Area, but what this means is that 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 compliance state. But it still means that the leader must be actually or imminently present. With identification, the threat of disappointing the leader is enough to maintain performance.[67]

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.

When to Use Which Goal[68]

In determining whether commitment, internalization, or innovation is appropriate, the leader must look at how critical the behavior being socialized is.[69] Socialization tasks required of a new member for successful incorporation into a group can be categorized as:

- Critical

- Non-essential but beneficial

- Non-essential and may even detract from group mission accomplishment.

Understanding the concepts depicted here is key to understanding socialization so let's spend a minute here.

Using whatever forum the leader deems appropriate, the leader determines what a newcomer must know and master to successfully perform his or her new role. Then the leader should divide the list of topics into the three categories immediately above based on their importance. For a patrol squad, officer safety would probably be the most critical skill on the leader's list for a new patrol officer. Since officer safety influences not only the newcomer, but also those around him or her, it is absolutely critical to master if the newcomer is to become an accepted member of the squad. Hence this skill would be placed into the critical task category with a desired outcome for this critical task as conformity. There is no room for flexibility or deviation with this task. It is critical that a newcomer master this task and conform to the squad's current practices. Hence internalization and commitment are appropriate for this category of tasks.

Also on the list of tasks for the patrol newcomer would be behaviors that are less important, but nevertheless keep the group performing efficiently. In general terms, these are patrol policies and functional group norms. An example might be how one marks out for meals during their shift. How this is done may have some critical aspects (for example maintaining the minimum number of officers on the street during the shift), but for the most part it is something

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[64] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. pp. 147-163.
[65] 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.

[66] 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.

[67] 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.

[68] Adapted from Halstead, J. F. 2009. "What to Learn." *West Point Leadership Course*. Nokesville, VA: Prince William County (Virginia) Police Department Criminal Justice Academy. pp.221-222.

[69] Schein, E. H. (Winter, 1968). "Organizational Socialization and the Profession of Management." *Sloan Management Review*. Vol. 9 pp. 10-11.

that needs to happen at some point in some fashion meaning flexibility and creativity can be tolerated without adversely impacting the group's performance. Consequently, this skill would be a non-essential but beneficial task with a desired learning outcome of commitment and innovation meaning there are parts that require adherence yet there is some flexibility in how it is accomplished.

Last, there are skills or behaviors that are disruptive to accomplishing the group's mission. Generally these tasks are dysfunctional group norms. An example might be the practice of not talking on the radio after 0200 so your squad mates can catch a nap. This interferes with the group's stated mission and would be put into the "non-essential and may detract from group mission accomplishment" category. The newcomer needs to avoid this behavior and actively rebel against it.

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.[70]

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 fit into their new role. 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 individual 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.

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[70] Levinson. H., C.R. Price, H.J. Mumden, and C.M. Solley, *Men, Management, and Health* (Cambridge, MA: Harvard University Press, 1962), p. 21.

Socialization Agents

Another important issue for the leader to consider is who should be the trainers (or socialization agents) in the organization. The leader must realize that everyone 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 so that the new person learns the right things. 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, chief etc.) could be construed as a senior organizational leader and a socialization agent. The greatest contribution of senior organizational leaders in the socialization process is to understand and model or demonstrate the 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 a new officer through everyday contact. Ideally, these followers will help newcomers achieve the socialization goals. But the organizational leader must recognize that some employees are bad examples and may not contribute positively to newcomer socialization. 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 correct organizational norms, goals, and values and instead demonstrate the wrong way to do things.

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 people 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.

Socialization Pitfalls

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 conveying explicit and stated rules, standard operating procedures, and ways of doing business in a work group. Orientation is no more than imparting knowledge and is often passive learning in that new members merely listen to what is said. 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. It is often an active learning process where socialization agents and newcomers interact as newcomers demonstrate their new knowledge.

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 work group or organization.

The socialization process never ends. As organizations change and individuals are promoted or move to new positions, they are socialized into their new roles and learn their new responsibilities. Therefore, it may be necessary to socialize more experienced officers and in many respects, this may prove more challenging than socializing inexperienced officers. Leaders must take an active role in the socialization process for all personnel regardless of their rank or experience 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

Having determined what will be learned and who will train it, it's time to take a close look at the transformation (or throughput) processes they might use as herein lies important strategies to help the leader conduct the socialization process for new members. Basically, there are five questions to consideration:

1. Whether to socialize collectively or individually.

2. Whether to socialize formally or informally.

3. Whether to consider movement through the socialization process on a fixed or variable schedule.

4. Whether or not to use role models.

5. Whether to use abasement or self-image-enhancing techniques.

With each question, there are advantages and disadvantages depending on what socialization goal is desired. The table in Figure 13-1 summarizes the relationship between socialization transformation process and the goal(s) it achieves. It may help you organize your thoughts as you read.

Collective versus Individual Treatment

People can be socialized collectively meaning new personnel are trained as a group. This results in a common set of experiences for all newcomers in the group. Many large organizations use this approach for large numbers of new recruits who need common, well-defined and similar skills. A good example of collective socialization is basic training in the military or new officer training classes at your academy. 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 from other newcomers, and each new person will have a unique set of experiences. The individual process is often used when a new officer graduates from the academy and subsequently receives individual training with a Field Training Officer or when a more experienced person moves into a new job in an organization either laterally from one functional department to another or up when they are promoted.

Depending on which end of the spectrum socialization occurs (collective or individual), different socialization goals will be achieved. For example, in the collective method, group members can share common problems. If one newcomer discovers a solution to a problem, for example how to get a great "spit shine" one his inspection shoes, he or she can share it with the others and everyone will do the same thing. In collective discussions, members can develop a consensus on how to deal with certain problems, which leads to group cohesion among the class or newcomers. 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. Perhaps you've experienced a group norm in your collective socialization where you don't do something that makes a classmate look bad.

In contrast, individualized socialization processes are most useful for unique and complex role training. The outcome of this approach is a function of the relationship between the leader/trainer and the individual – what is often called a mentor relationship. When the individual respects the mentor and the mentor gives the new person

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[71] Associates of the Department of Behavioral Science and Leadership. 1981. Leadership in Organizations. Washington DC: US Government Print Office. pp.157-161.

[72] Blyth, D. 1984. Unpublished Socialization class notes – Lesson 13, *PL 300 Military Leadership*. West Point, NY: Department of Behavior Science and Leadership.

[73] Halstead, J. F. 2009. Unpublished Socialization class notes – Lesson 12, *West Point Leadership Course*. Nokesville, VA: Prince William County (Virginia) Police Department Criminal Justice Academy.

**Figure 13-1. Relationship between Transformation Processes
and the Goals of Socialization[71,72,73]**

Transformational Process		Increases	Decreases
Individual	Mentor respected	**Commitment**	
	Mentor not respected	**Innovation**	**Commitment**
Collective		**Commitment**	**Innovation**
Formal		**Commitment Internalization**	
Informal		**Innovation**	
Fixed Time	Moderate security	**Innovation**	
	Too much security		**Innovation**
Variable Time	For those who advance	**Commitment**	
	For those who do not advance		**Innovation**
Role Model	Role model respected	**Internalization**	**Innovation**
	Role model not respected	**Innovation**	**Internalization**
No Role Model		**Innovation**	
Abasement	If voluntary and successful	**Commitment**	**Innovation**
	If involuntary and/or unsuccessful	**Innovation**	**Commitment Internalization**
Self-image Enhancement		**Innovation**	

considerable attention, a mutually satisfactory psychological contract is likely where individual commitment to the group on the part of the newcomer is likely. If the newcomer doesn't respect the mentor, rebellion or innovation as well as minimal commitment to the group 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. An example of this is initial entry training in many police academies where recruits training away from the organization, where different uniforms, and may even have different titles like "Recruit" or "Cadet."

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 while on the job without the guidance of a mentor or trainer. The newcomer is allowed to learntheir new position by trial and error. Keep in mind that informal training is more likely to lead to costly on-the-job mistakes and may require significantly more time to learn required tasks.

Again, the socialization goals achieved by formal and informal processes are different. Formal socialization is appropriate when a new member is scheduled for an important new position or rank and 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 to the order that are unlikely to be present in newcomers without a formal socialization process. Formal socialization programs are characterized by structured learning and training objectives.   Informal socialization, on the other hand, has no structure. It is strictly a trial-and-error process that tends to increase the innovation of new members as new members are figuring things out for themselves.

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 can be 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. In one department, people who have a great new idea and successfully implement it, get promoted. As a result, everyone who wants to get promoted is trying new things so they might stand out.

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.[74] Yet if role models are undesirable and not respected by the new person, 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 respected role models.[75]

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 trainers and/or 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 old leader possessed critical attributes lacked by the new group member.

People need a lot of motivation to persevere through abasement which can come from the awe inspired by a prestigious agency and the desire to be part of it. When freely undertaken and properly managed (which is usually very difficult to do), 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 – "Great to meet you…your resume and experience are just what we need…you're going to fit right in." The activities serve to validate the newcomers' views of themselves. Self-image enhancement is usually associated with the socialization goal of innovation, while abasement experiences discourage innovation.

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 dysfunctional group norms featuring 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 critical tasks and 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. Additionally, those who stay tend to have lower performance scores than those who decide to leave. Also, people who have undergone

[74] 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.
[75] Bandura, A., *Social Learning Theory* (Englewood Cliffs, N.J.: Prentice-Hall, 1977).

abasement strategies tend to have more difficulty handling authority without being abusive themselves in the future.[76]

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 from the training process and organization. And those who resign are often the ones who have the potential to make significant contributions to the organization.[77]

A third negative outcome of abasement is the possibility of abuse by leaders or trainers. 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 resulting in reactions ranging from loss of sleep to suicide attempts. 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.[78]

Other Considerations in the Transformation Process

Essentially, the leader's task in socialization is threefold as discussed above. These are:

1. Evaluate the individual's initial attributes (inputs).

2. Determine the desired goals of the socialization process (outputs).

3. Select the socialization processes to accomplish the 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.

1. *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 assignments may convey positive expectations.[79] Challenging assignments tell individuals that the group expects them to do well. This step also means that the leader creates a positive expectation with the other members of the group. By encouraging newcomers (as earned) and the remainder of the group, the leader sets the stage for success.

2. *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

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[76] Earle, H.H., *An Investigation of Authoritarian Venus Nonauthoritarian Training in the Selection and Training of Law Enforcement Officers* (Ann Arbor, MI: University Microfilms, 1972), p. 205.

[77] McConnell, J.V., *Understanding Human Behavior*, 2d ed. (New York: Holt, Rinehart and Winston, 1977), pp. 288-291.

[78] 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.)

[79] 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.

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.[80] 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.[81] Also, if the task is perceived as impossible, a reduction in self-esteem along with dysfunctional stress may result.[82]

3. *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.

4. *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.[83] And what are the benefits of this approach? It builds commitment – followers feel compelled to repay their leader with hard work and quick learning.[84] For the individual, leader acceptance allows him or her to develop abilities and enhance self-esteem.

5. *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 or appointing an individual that a new person can openly talk with.[85] 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.

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[80] 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).
[81] Porter, Lawler, and Hackman, *op. cit.*, pp. 196-197.
[82] 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.
[83] 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.
[84] Schein, 1968, *op. cit.*, p. 8.
[85] Terborg, J.R., "Women in Management: A Research Review," *Journal of Applied Psychology*, 62, (1977), p. 652.

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6. *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. Police academies have graduation ceremonies. 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.[86] 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."[87] 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.

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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.

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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)?

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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?

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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?"

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Seven Principles of Leadership

What does it mean to be a leader? A leader is "a person who influences a group of people towards the achievement of a goal." Also defined and illustrated by the 3P's – Person, People, and Purpose. Great leaders have vision, courage, integrity, humility, and focus. True leaders don't tell people what to do, instead they lead them to where they need to be. Good leaders understand there needs to be a team approach where each person in an organization recognizes they have a very important role to play in order for their team to be successful.

FTO Leadership is putting others before yourself as well as being responsible for the growth, learning, success and well-being of the people they lead. In the book, The Way of the Shepherd Leman and Pentak teach us how to lead people so they feel their work is more like a calling, and where they have a sense of belonging as opposed to just a job and a place of work. An FTO walks with their trainees and cares for each of them. The Seven Principles teaches how to achieve great success and how to engage and energize the workforce. Great leaders instill a sense of meaning and belonging in their followers by putting the personal imprint of who they are and what they stand for on their people. FTO leaders give their best in order to receive the best from others. You have to really care about your people. You can go through all the right mechanics, but if you don't genuinely care about the people who report to you, you'll never be the kind of leader they'll drop everything to follow.

Know the Condition of Your Trainee

All too often in the workforce, we deal with leaders who have a more hands-off approach that can make employees feel disconnected from upper management and other departments. This can make it difficult for people to stay focused on a goal if they feel they are not part of a team or they are by themselves. The first principle, Know the Condition of Your Trainee, the importance of a good leader is being present and engaging regularly with their employees. When leaders make themselves available to their employees this shows they have a personal interest which helps to motivate people to perform at their best. Leaders to get to know who their employees are, what they are about, understand their working style, and learn what is important to them. You're going to have to get out and get among your people. When you do, keep your eyes and ears open and ask lots of questions. It is important to get to know your people on another level, not just the role they have at work but to get to know the person themselves.

A great FTO will engage, correspond, monitor, and conduct regular check-ins with their trainees to ensure they are task-driven and have what they need to be successful. In other words, great leaders get involved with their employees they walk with them. This means not just handing out a task and walking away but staying and working with them showing you are interested in what they are doing and that you care about what they are doing. You have to take a personal interest in each of the people who report directly to you. As a FTO you want to see how your people are doing the work, their performance, and their progress - do they need any help – good FTO's walk alongside with their employees.

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Discover the Shape of Your Trainee

The second principle describes how FTO's need to be selective when choosing their trainees for an open position. In other words, certain FTO's are best in certain phases. The agency needs to hire the finest people who will be the best fit for the job and also the best fit for the team. "As a FTO, your choice of trainee can make leadership easier or harder. If you don't hire right, you'll inherit someone else's problem. An agency may choose to interview a person who comes with lots of experience and many years in policing but may not necessarily be the best fit for the agency. The agency may also choose to interview people with very little experience if any, but their personality and work ethic make this individual stand out and they may be the better fit for the department. Good FTO's and leaders are always on the lookout for team-oriented people who are the right fit. Candidates can be old, young, experienced, or inexperienced, that isn't always what matters. What is important is will they be a team player and willing to get involved. A good leader is always looking for qualified people who are not set in their ways but open to new ideas, flexible, and goal orientated. For one thing, people with a good attitude are usually team players.

Sometimes employers inherit people with bad habits who may not always be the best fit for the team. This is another reason why it is so important for FTO's to get to know their trainee, their work ethic and how they conduct themselves in the workplace. Human Resources plays a key role in finding premium candidates and who they think is the right fit for leaders to interview for a position. Even though some people come with years of experience it comes back to do they have the same desire, work ethic needed to create a great workplace. Or are they reluctant workers who constantly question the group or boss, do they make tasks more difficult. It is the leader's job to hire the greatest person for a position. Whether they will be helpful or hurtful to a team is difficult for a leader to know that's why it is imperative for leaders to get out and know their employees.

Help Your Trainee Identify with You

FTOs are responsible for their trainee's learning, growth and success as well as for their well-being. True leadership is about helping others develop their own skills so they may become leaders themselves. It is so important for a good leader to make sure people are in the right place and that their strengths and passions reflect their responsibilities. This makes people feel they are making a difference and will be more effective in their work. Great FTOs leave their mark by constantly communicating their values and sense of mission. It is important as a FTO to be authentic to your trainees. Take for example a FTO who has a favorite trainee and overlooks poor performance because they like them personally. When a FTO doesn't deal with an issue they are not acting honest or being authentic with trainees. It affects other people and usually ends up having a negative ripple effect throughout the department. FTO's and other leaders who say things like, be a good communicator, and then go and hide in their office are not displaying the qualities of a true leader. Leaders need to be visible and need to be amongst their staff. If a FTO coordinator expresses the importance to monitor FTOs every move, the coordinator needs to be engaged as well, not locked away in an office expecting other people like the FTO to do the job alone. The coordinator is the coach for the FTO.

Leaders need to model and lead by example. They shouldn't just tell someone to do something, they need to show them how to do it – don't talk the talk but walk the walk. You can't make your mark on the people you lead unless you get up close and personal. If people, see a lazy FTO they will follow suit and be lazy as employees. If FTOs set the bar high, and trainees see them working hard, trainees will see the work and ethic expected and hopefully will follow the lead set for them. When taking on leadership roles, sometimes leaders need to have difficult conversations with employees about performance. How these situations turn out often depends on the delivery of information by the leader and the sincerity of the conversation. We will discuss this concept in more details in the next module. A good leader will explain expectations, with clear examples of what is expected, but will also provide the employee with the tools needed for them to be successful. This type of communication is intended to be constructive, not just corrective.

Make Your patrol car a Safe Place

The fourth principle examined is the importance of keeping your people well informed and addresses the value of communication. Whether its communication regarding expectations, a directive or any other information that is pertinent, it is very important to remember that quality communication must flow both ways - from FTO to trainee and from trainee to FTO. True leaders need to make people feel what they are doing in their day-to-day job matters. Good FTOs don't forget to encourage their people now and again. People need to feel they have value, and their work is important, and if not they will not perform to a higher standard. You infuse every position with importance. When leaders make people feel they are important or their job is worthy, they will put more effort into it because they see they are valued. Chronic instigators or disgruntled employees who are constantly causing problems within a group throw off the whole department, or organization. Leaders cannot have one person thinking that their value as an employee is worth more than others. This may cause huge problems throughout an organization affecting many employee's performances.

If you don't feel secure at work, there's no way you can do your best work. Good FTOs need to continually challenge their trainees to keep them fresh, invigorated and keep the productivity ongoing. If people have been doing the same job for a long time, they may become complacent or feel their jobs are mundane. This often leads employees to lower their productivity, become detached from performance, or stifle creativity. True leaders need to periodically change things within a task and challenge their employees according to their skill level. The best way for good FTOs to reassure confidence and motivate their employees is by being visible. FTOs need to put themselves out there for their trainees to see, and not give orders or directives and then hide away in the car. People want to see that they have value, and they also want to see all parts of the business working together. People can handle the uncertainty of tomorrow if they can see a leader, they are certain they can trust today. At times FTOs need to deal with issues that may be unpleasant in the workplace. This could be an issue between staff members, or it may be an issue between trainee and spouse, either way, it needs to be dealt with even if it is hostile and you don't want to do it. Don't give problems time to fester. Even if the leader knows the employee personally and thinks there could be a confrontation, it is best to get out in front of the problem or issue and deal with it head-on.

The Staff of Direction

According to the author, there are four functions the staff helps the FTO perform, each represents a responsibility of what it means to be an FTO leader. It is a leader's responsibility and duty to direct their people to get out and lead by engaging, motivating and challenging their employees. It is important workers feel valued and well looked after by their leaders and bosses this will help promote quality work performance. If a leader can get a few people to trust their capabilities and leadership style, the rest of the staff will follow. FTOs needs to make their trainees feel comfortable and valued in their working environment. FTOs need to show they trust their employee's decisions and abilities.

A FTO will get much further with their trainee if they lead by way of showing benevolence rather than fear, and intimidation. If trainees feel they are mistreated by their FTO the FTO will lose the loyalty of their trainee. When directing staff member's leaders should use persuasion instead of coercion making requests rather than pronouncements, advocate and recommend rather than dictate and demand. If a worker makes a mistake it's not the end, let them know where they went wrong. Then next help them to build their confidence and use the mistake made as a teaching opportunity. Remind them it is Ok to make mistakes lots of people do, but it is what they learn from it that is important.

Some leaders think that to work as a team everyone needs to be doing the same thing, and the leader needs to be involved in every minor detail –this is micromanaging people. Make sure your employees have the freedom to explore within their job. Great leaders provide direction and expectation but leave it to their workers to decide how best to get there.

FTOs are responsible for the safety and well-being of their employees. If an employee finds themselves in a stressful situation, the FTO needs to get involved. If a teacher finds themselves in a situation with a parent and is questioned regarding teaching practices, it is the responsibility of the leader to be there to show support and help defend them. When a leader steps up to support an employee, the loyalty that a person will show will be amazing – and the trust they will have in you as a leader will become obvious. Great leaders reassure people with their presence and trust. FTOs recognize the importance to continually encouraging their people.

The Rod of Correction

The sixth principle encourages leaders to stand in the gap and fight for their trainees. In other words, to show support for their people. Be there to lead and protect them, and to have their best interest in mind. Support your employees in their endeavors to become better and stand by their decision making. Leaders shouldn't be quick to discipline but should be willing to show people how to correct an error that occurred. Leaders need to model what improvements have to happen to make things better. It is not about telling employees how something should be done but teaching them the right way to do it. One of the most important aspects of being a good FTO is frequently inquiring about your people's progress. Regular check-in with employees, finding out how they are doing and if they need your support. If you know an employee has a concern or stress in another area of their life, a good leader makes sure supports are offered to the individual in need. It isn't always only about the work during the day, but also the personal connections made that make people feel respected.

The Heart of the FTO

In the seventh principle, Leman and Pentak discuss how great leadership is a lifestyle, not just a technique. This final message discusses how great FTOs need to keep developing and changing. FTOs cannot rely on one way of doing things because they had worked in the past. Great leaders need to be continuously progressing for the people they work with. The heart of leadership means to continuously try and be better at what you do, making sure not to become stagnant.

It is important to remember times change, people change, and needs change. Leaders don't have to change their core beliefs, how they communicate information and the connections they make with their employees may need to change. Leaders should ask themselves; are you true to what you do? Are you honest with yourself? Are you committed?

Leaders who inspire to follow the ***Developing Leaders in Texas leadership model*** will be required to devout themselves to be a truly hands-on leader. The ultimate test of leadership isn't setting the direction for your trainee. The ultimate test is this: can you get your trainee where you want it to go? FTO leaders genuinely aspire for all their trainees to become successful and flourish in their jobs. This requires a FTO to be visible, a great communicator, motivated, and be able to walk alongside all members of the team. When FTOs demonstrate their care and devotion for the trainee to succeed, respect and success will follow. "By being a good FTOs to trainee, you show them that you are worthy of being followed.

Crucial conversations
Tools for talking when the stakes are high

IN A NUTSHELL

Many 'defining' moments in life come from having crucial conversations (as these create significant shifts in attitude and behavior). This process focuses on techniques on how to hold such conversations in a positive space when surrounded by highly charged emotions. Their findings are based on 25 years of research with 20,000 people.

Their model has essentially 7 steps:

1) Start with the heart (i.e empathy and positive intent)
2) Stay in dialogue
3) Make it safe
4) Don't get hooked by emotion (or hook them)
5) Agree a mutual purpose
6) Separate facts from story
7) Agree a clear action plan

Crucial Conversations

1. **Definition of a crucial conversation:**
A discussion between two or more people where: (a) stakes are high, (b) opinions vary, and (c) emotions run strong.

2. **Definition of dialogue:**
The free flow of meaning between two or more people.

3. **Purpose of dialogue:**
a. To fill the pool of shared meaning.
b. The greater the shared meaning in the pool, the better the decision.

4. **Start with yourself – which you can control.**
a. Ask what you really want (not winning; not revenge; not safety); e.g., for yourself, for others, for the relationship.
b. Clarify what you don't want.
c. Present your brain with a more complex problem/creative solution: an and vs. an either/or – e.g., is there a way to say what you need without coming across as demanding and self-righteous? Or, can you tell the truth and not insult anyone?
d. Learn to look/know when you are in a crucial conversation.
e. Are you behaving like what you really want?

5. **Notice when:**
a. Safety is at risk: Silence (withholding meaning from the pool) or violence (forcing meaning into

the pool). Stop and make it safe.
b. Silence: Masking, avoiding, and withdrawing.
c. Violence: Controlling, labeling, and attacking.

6. **Making it safe.**
Make It Safe: Steps
The steps to make it safe during crucial conversations are:

Spot the turning point: Notice when the conversation becomes crucial.
Watch signs of a safety problem.
See if others are moving toward silence or violence.
Beware of reverting to your style under stress.
1**. Spot the Turning Point**
Stay alert for the moment a conversation turns from harmless to crucial so you can avoid getting sidetracked by emotions and can intervene if others go off track. Reprogram your mind to pay attention to signs — physical, emotional, and behavioral — that suggest you're in a crucial conversation.

Physical: Your body sends signals — for instance, your face may flush or your shoulders may tense up. These are your cues to step back and remember your original purpose.
Emotional: You or others start to feel afraid, angry, or hurt. You begin to react to or suppress these feelings. These are cues to slow down.
Behavioral: People raise their voices or become quiet.
2**. Watch for Signs of a Safety Problem**
Once you see that a conversation is starting to turn crucial, pay attention to safety: Watch for signs people are becoming fearful. When this happens they take a fight or flight response, and you're no longer in a "make it safe" crucial conversations environment.

Force their views on others (fight), for instance by talking over other people. They do this when they fear that people aren't buying into what they're saying.
Withhold their opinions for fear of being attacked (flight).
When people begin to feel unsafe, they may push, insult, be sarcastic, or make fun of you. While you should be thinking about how to make them feel safer, it's difficult when you feel under attack — you may get emotional and respond in kind (or withdraw). At this point, you're not dual-processing but becoming part of the problem as you get pulled into the fight.

When your emotions start ratcheting up, your key brain functions start shutting down. Your peripheral vision actually narrows — when you feel genuinely threatened you can't see much beyond what's right in front of you.

By pulling yourself out of the content of an argument and looking at conditions objectively, you reengage your brain and your vision returns. When you give your brain a new problem, it functions better.

Reinterpret others' aggression as a sign they don't feel safe — be curious, rather than angry or fearful — and take steps to change the conditions of the conversation in order to reestablish the "make it safe" crucial conversations environment.

3**. Look for Silence and Violence**

In order to make it safe in crucial conversations, there's no room for unsafe behavior. When people resort to silence or violence — either withholding meaning or trying to force it on the shared pool — there are some common behaviors and tactics to look for.

Silence

Silence is any act to purposely withhold information from the pool of meaning. People usually go silent to avoid problems.

Behaviors include playing verbal games or avoiding a person entirely. But the most common forms of silence are masking, avoiding, and withdrawing.

Masking: Understating or selectively showing your true opinions using sarcasm, sugarcoating, and couching. For example: "Oh, sure. That process worked like a charm."
Avoiding: Steering completely away from sensitive subjects; you talk without addressing the real issues. For example, when trainee ask you to repeat the process or procedure, you respond: "Well, you really should get your ears checked."
Withdrawing: Pulling out of a conversation; withdrawing or even leaving the car or room. For example, "I just can't talk about this right now."

Violence

Violence is a verbal strategy to convince or compel others to accept your point of view. Trying to force meaning into the pool violates safety. Behaviors include name-calling, filibustering, and making threats, but the most common are controlling, labeling, and attacking.

Controlling: Coercing others to your way of thinking by either forcing your views on others or dominating the conversation. Methods include cutting others off, overstating your facts (hyperbole), speaking in absolutes, changing subjects, or using directive questions to control the conversation. For example: "Everyone FTO on this department has heard about you safety concerns."
Labeling: Attaching a label in order to stereotype or dismiss someone or their idea. For example, "You're in third phase, you act like you are fresh out of the academy."
Attacking: You move from winning the argument to making the other person suffer. Tactics include belittling and threatening. For example: "You're a real jerk! I'm sorry but someone has to tell the truth here."
Learning to make it safe in crucial conversations is one of the most important parts of learning to connect and communicate. Without making it safe, crucial conversations cannot happen, and you will continue to communicate unproductively.

7. **Mastering stories** – Staying in dialogue while scared, angry or hurt
a. Retrace your steps in the path from feelings to action: see/hear (data and sensations) → tell a story → feel → act1

b. Resist dangerous stories:
i. Victim: "It's not my fault."
ii. Villain: "It's all your fault."
iii. Helpless: "There's nothing else I can do."

c. Changing the discourse:

i. Turn victims into actors.
ii. Turn villains into humans.
iii. Turn helpless into ables.
iv. Tell the rest of the story; e.g., my role, what I want, what I would do if I acted like what I want.

d. STATE: A tool for getting your meaning a fair hearing:
i. Share your facts: Observable; not controversial
ii. Tell your story: What you are beginning to conclude
iii. Ask for others' path: Ask for others' facts and conclusions
iv. Talk tentatively: Differentiate your facts from the story you've constructed
v. Encourage testing: Ask for different meanings, opposing views; play devil's advocate

e. Communication tools for getting others to share their path:
i. Ask to get things rolling
ii. Mirror to confirm feelings
iii. Paraphrase
iv. Prime: If everything else fails, pour some meaning into the pool
f. Moving on after the stories:
i. Agree when you do
ii. Build on what has been said; add what's missing or needs adding
iii. Compare (Confront): Explore and explain differences

8. From dialogue to action
a. Decide how to decide by attending to:
i. Who cares/will be impacted?
ii. Who knows/has expertise?
iii. Who must agree/has authority/can block?
iv. How many people is it worth involving without leaving a blocker out?
 1 See also The Ladder of Inference

b. Four types of decision-making:
i. Command: Explain why; explain which elements are flexible; don't overuse
ii. Consult: Don't consult if you've made up your mind; announce what you are doing; report back your decision
iii. Vote: Creates winners and losers; don't cop-out by voting
iv. Consensus: Don't apply to everything, don't pretend everyone will get first choice, don't take turns, commit to support the decision and outcomes no matter what, have a fall-back if time is an issue.

c. Finish with who, what, by when; i.e., an action plan, plus follow-up.
i. Record the decision and agreements

9. Coaching summary
a. Start with heart: What do I want/don't want; refuse "the Sucker's choice."
b. Learn to look for when the conversation becomes crucial: For safety, for your style under stress.
c. Make it safe: Apologize; Contrast; CRIB (commit, recognize, invent, brainstorm)
d. Master your stories: Retrace path to action, separate facts from stories, watch for clever stories, tell the rest of the story.

e. STATE your story: Share facts, tell your story, ask for other's path, talk tentatively, encourage testing.
f. Explore others' path: Ask, mirror, paraphrase, prime: Agree, Build, Compare.
g. Move to action: Decide how to decide, use appropriate decision-making style, document decision and action plan, follow up.

10. Important tips – Yeah, but…
a. Hold crucial conversations with teammates that don't come through on team agreements: Don't leave it to the boss.
b. As leader, ask for feedback from peers, not subordinates, when you experience deference. Hold crucial conversations with direct reports when you have more data on your behavior.
c. If others don't want to talk about the tough issues, make it safe by establishing a compelling mutual purpose.
d. When actions are both subtle and unacceptable, retrace your "path to action" to put your finger on what others are doing that's problematic. If there are no facts or consequences, work on your tolerance.
e. When others don't meet your expectations, clarify them or establish new and higher ones.
f. Learn to look for patterns, not the one instance; e.g., coming late vs. failing to live up to commitments made.
g. If one needs time out, come to mutual agreement about it and commitment to resume conversation at another time.
h. Show zero tolerance for insubordination: Speak up immediately and respectfully.
Catch disrespect before it turns into abuse and insubordination.
i. Emotions: Your ability to pull yourself out of the content of a discussion and focus on the process is inversely proportional to your level of emotional intelligence.

What is Psychological Safety?

Psychological safety is a condition in which human beings feel (1) included, (2) safe to learn, (3) safe to contribute, and (4) safe to challenge the status quo – all without fear of being embarrassed, marginalized, or punished in some way. The 4 stages of psychological safety are a universal pattern that reflects the natural progression of human needs in social settings. When teams, organizations, and social units of all kinds progress through the four stages, they create deeply inclusive environments, accelerate learning, increase the contribution, and stimulate innovation.

Stage 1: Inclusion Safety

Inclusion safety satisfies the basic human need to connect and belong. Whether at work, school, home, or in other social settings, everyone wants to be accepted. In fact, the need to be accepted precedes the need to be heard. When others invite us into their society, we develop a sense of shared identity and a conviction that we matter. Inclusion safety allows us to gain membership within a social unit and interact with its members without fear of rejection, embarrassment, or punishment, boosting confidence, resilience, and independence. But what if you're deprived of that basic acceptance and validation as a human being? In short, it's debilitating. It activates the pain centers of the brain. Granting inclusion safety to another person is a moral imperative. Indeed, only the threat of harm can excuse us from this responsibility. When we create inclusion safety for others, regardless of our differences, we acknowledge our common humanity and reject false theories of

superiority and arrogant strains of elitism.

Stage 2: Learner Safety

Learner safety satisfies the basic human need to learn and grow. It allows us to feel safe as we engage in all aspects of the learning process—asking questions, giving and receiving feedback, experimenting, and even making mistakes, not if but when we make them. We all bring some level of inhibition and anxiety to the learning process. We all have insecurities. Who hasn't hesitated to raise their hand to ask a question in a group setting for fear of feeling dumb? Learning is both intellectual and emotional. It's an interplay of the head and the heart. When we sense learner safety, we're more willing to be vulnerable, take risks, and develop resilience in the learning process. Conversely, a lack of learner safety triggers the self-censoring instinct, causing us to shut down, retrench and manage personal risk. When we create learner safety for others, we give encouragement to learn in exchange for a willingness to learn.

Stage 3: Contributor Safety

Contributor safety satisfies the basic human need to contribute and make a difference. When contributor safety is present, we feel safe to contribute as a full member of the team, using our skills and abilities to participate in the value-creation process. We lean into what we're doing with energy and enthusiasm. We have a natural desire to apply what we've learned to make a meaningful contribution. Why do we dislike micromanagers? Because they don't give us the freedom and discretion to reach our potential. Why do we like empowering bosses? Because they encourage us and draw out our best efforts. The more we contribute, the more confidence and competence we develop. When we create contributor safety for others, we empower them with autonomy, guidance, and encouragement in exchange for effort and results.

Stage 4: Challenger Safety

Challenger safety satisfies the basic human need to make things better. It's the support and confidence we need to ask questions such as, "Why do we do it this way?" "What if we tried this?" or "May I suggest a better way?" It allows us to feel safe to challenge the status quo without retaliation or the risk of damaging our personal standing or reputation. Challenger safety provides respect and permission to dissent and disagree when we think something needs to change and it's time to say so. It allows us to overcome the pressure to conform and gives us a license to innovate and be creative. As the highest level of psychological safety, it matches the increased vulnerability and personal risk associated with challenging the status quo. When we create challenger safety, we give air cover in exchange for candor.

We thrive in environments that respect us and allow us to (1) feel included, (2) feel safe to learn, (3) feel safe to contribute, and (4) feel safe to challenge the status quo. If we can't do these things, if it's emotionally expensive, fear shuts us down. We're not happy and we're not reaching our potential. But when the environment nurtures psychological safety, there's an explosion of confidence, engagement, and performance. Ask yourself if you feel included, safe to learn, safe to contribute, and safe to challenge the status quo. Finally, ask yourself if you're creating an environment where others can do these four things. In the process, look around and see others with respect and fresh amazement, find deeper communion in your relationships, and more happiness and satisfaction in your own life.

Source: Timothy R. Clark
The 4 Stages of Psychological Safety: Defining the Path to Inclusion and Innovation,
(Berrett-Koehler, March 2020)

1. Self-Awareness

Self-Awareness means being aware of your own emotions and being able to identify them correctly. This is the most important of the EI skills. It allows you to recognize your own strengths and weaknesses. If you are aware of your feelings, you know what causes you to feel happy, proud, alarmed, disgusted, and so on. These are your biases, positive as well as negative. When you are aware of your feelings you can more easily manage your own reactions and your behavior. This is very important to managing relationships with others successfully.

2. Self-Management

<u>Self-Management</u> is the ability to control your emotional reactions while still behaving with honesty and integrity. A person who is <u>emotionally intelligent</u> does not let bad moods or a strong emotional reaction govern his or her behavior. She or he is able to be honest and frank in a calm manner, without attacking others. When moods or feelings are too strong to set aside, an emotionally intelligent person lets others know she/he is upset, and how long this is likely to last so they know what to expect and can adjust.

<u>Self-Management</u> also means being able to direct your own behavior toward a goal. It means being able to put off gratification in the present in order to get better results at a future time, like saving money now to buy a house later. And it means being able to motivate yourself to stick with something over time, even though it may be difficult and time consuming.

3. Social Awareness

Social awareness has two parts: empathy, and attention (noticing how others are reacting to you).

Empathy means being able to sense what the other person is feeling, and to know what their emotion feels like from your own experience. It does not necessarily mean you agree with the other person. However it does mean that you know how they feel and can communicate that you understand, and that you care.

The other part of social awareness is attention or knowing how other people are reacting, or anticipating how they are likely to react to what you do and say. It means having a sense of how others feel when you announce a change, make a request, or simply make a statement. Once you have the ability to sense how others react, you can be more effective in choosing how to deliver a message. This lays the foundation for the fourth skill, relationship management.

4. Relationship Management

Relationship management includes the ability to communicate in a clear and convincing way. Being clear means being able to say what you mean simply, and being able to offer examples.

Being convincing does not rely on rational argument. It relies on understanding how people feel and what emotions are important in their decision-making process. You can observe this in the way national and community leaders attempt to influence their constituents. They will typically talk about issues of security, faith, family, health and prosperity — all things that have a strong emotional impact on people. This does not mean you should abandon rational argument, it means you must also understand how to use emotion to communicate and persuade.

A person who is emotionally intelligent can communicate ideas, information, and requests to others effectively. They pay attention to how others are reacting and adjust their approach to get a better result. Because they pay attention to emotional response, they are often able to predict how others will react and plan accordingly. They are often quite good at building enthusiasm and calming down interpersonal conflicts. The key is social awareness and flexibility in how they talk to other people. They can adjust words, non-verbal behavior, and timing to get the best reaction from others.

Conclusion

Emotional intelligence is a set of skills that involve the ability to identify and monitor their own thoughts, as well as those of others, using them to steer the way of thinking and acting. Emotional intelligence is therefore an ability, single or composite, which helps people to harmonize it.

- **Self-Awareness:** Capacity for understanding one's emotions, one's strengths, and one's weaknesses.
- **Self-Management:** Capacity for effectively managing one's motives and regulating one's behavior.
- **Social Awareness:** Capacity for understanding what others are saying and feeling and why they feel and act as they do.
- **Relationship Management:** Capacity for acting in such a way that one is able to get desired results from others and reach personal goals.

A person who masters the first three is in a better position to effectively manage relationships. Each of these four domains comprises a number of functional units or competencies. Developing competencies across these four main areas is essential for success in life and the workplace.

TALK STRAIGHT

Behavior # 1 of relationship trust from the book The Speed of Trust by Stephen Covey is "TALK STRAIGHT."

According to the book, the opposite of TALK STRAIGHT is to lie or to deceive. The counterfeit behaviors of TALK STRAIGHT are beating around the bush, withholding information, double-talk (speaking with a "forked tongue"), flattery, positioning, posturing, and the granddaddy of them all: "spinning" communication in order to manipulate the thoughts, feelings, or actions of others. Another dangerous counterfeit is "technically" telling the truth but leaving a false impression.

When people do have the courage to stop the cycle of spin and TALK STRAIGHT instead, amazing things happen. Communication is clear. Meetings are few, brief, and to the point. Trust increases. Speed goes up. Cost goes down. Of course, excessive TALKING STRAIGHT would put you into a big disadvantage, because you would seem to be a bad-mouth and putting down others behind their backs.

The SUMMARY of Behavior No. 1 – TALK STRAIGHT.

Be honest. Tell the truth. Let people know where you stand. Use simple language. Call things what they are. Demonstrate integrity. Don't manipulate people or distort facts. Don't spin the truth. Don't leave false impressions.

Straight talk is especially applicable in the Professional Development Meeting, the context where we are striving to be effective feedback givers and receivers. As we've discussed. we must be able to give & receive both HONEST feedback and SUPPORTIVE feedback. One without the other is not truly

'straight talk'. Covey cites the example of Warren Buffet who writes an annual report with NO spin updates about the status of business, even going to far as to disclose his errors in judgment.

Again, here is a list of counterfeit behaviors that defy 'straight talk':

* beating around the bush

* withholding information

* double-talk (say one thing, do another)

* misleading

* flattery

* positioning & posturing

* leaving a false impression (despite speaking the technical truth)

* "spinning" (what Covey calls the grandaddy of them all) which also levies a 'spin tax' which incurs a 'withholding tax' (people begin to withhold information). Some might call the play between spinning and withholding office politics. I'm sure none of us have experienced this first-hand. "When people have the courage to stop the cycle of spin, amazing things happen. Communication is clear. Meetings are few, brief, and to the point. Trust increases. Speed goes up. Cost goes down.

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 5-1 through 5-24.
2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must conduct the following steps:

   If Expectancy Theory fits the situation best:

I. *Identify* the Areas of Interest.

II. *Analyze* the situation using Expectancy Theory.

A. *Identify* the logical chain of events.

B. *Identify* the individual behavior(s), performance outcome(s), and reward outcome(s).

C. *Classify* the components of Expectancy Theory that are high, low, or missing: expectancy, instrumentality, and valence.

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

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.

Alternately, if Goal Setting Theory fits the situation best:

I. *Identify* the Areas of Interest.

II. *Analyze* the situation using Goal Setting Theory.

A. *Identify* the logical chain of events.

B. *Identify* the current explicit individual goal(s).

C. *Classify* the current conditions for successful goal setting. Are current goals:

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?

D. *Identify* the missing goal setting conditions.

III. *Explain* how the lack of effective goal-setting techniques has decreased individual motivation, satisfaction, and performance. Additionally, identify a root cause.

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, 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?

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?

EXPECTANCY THEORY[15]

> "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

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[15] Adapted from Associates of the Department of Behavioral Sciences and Leadership. 1981. *Leadership in Organizations*. Washington DC: U.S. Government Printing Office. p. 61-66.

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" believe that he has the knowledge, skills, and abilities to do the investigation to standard (an assessment by Sgt. New of his level of expectancy)? Does he think he will receive a reward for his efforts (his assessment of his level of instrumentality)? Does he value the reward if he were to receive it (an assessment of his valence)? The answers to these questions will determine how much effort this sergeant will exert. If all three questions are answered with a "Yes," then Sgt New will be motivated to do the investigation. If any one of the questions is answered with a "No," then Sgt New will not be motivated to do the investigation or will only put forth minimal effort.

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. Figure 5-1 illustrates how a person perceives these questions. To more fully understand the diagram, we'll first define individual behaviors, performance objectives, and reward.

Individual behavior is the knowledge, skills and abilities that a person has. In Sgt. New's case above, he would mentally inventory his capabilities. Being a sergeant, he probably has the ability to investigate a situation, interview witnesses, and write up the interviews and a summary of his activities.

Performance objective, often referred to as performance outcome, is the action or behavior in question and the standard to which it needs to be completed. 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 performance objective is producing a well-written personnel complaint in six days, but it could have subordinate performance objectives such as conducting effective interviews, following the format, etc.

Figure 5-1.[16]
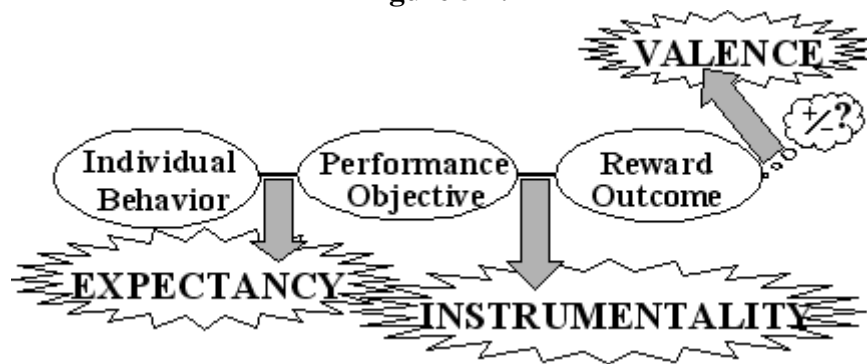
Reward, or *reward outcome,* is what is received for the effort extended. Rewards may be visible and extrinsic, such as pay, promotion, or commendation; or they may be intrinsic, such as

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[16] Associates of the Department of Behavioral Sciences and Leadership. 1981. *Leadership in Organizations.* Washington DC: U.S. Government Printing Office. p. 66.

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.

To determine the Expectancy link between the individual behavior(s) and the performance objective, Sgt. New asks himself, "If I try my best, can I do effective interviews, follow the format, and submit a well-written complaint on time?" If the answer to any of these questions is "No," Sgt. New will have low expectancy and consequently, low overall motivation to perform this task. If he answers, "Yes," he'll have high expectancy.

To determine the Instrumentality link between the performance objective and the reward, Sgt. New asks himself, "If I do a good job on the complaint, do I believe that I will get something (either intrinsic or extrinsic) for my efforts?" If the answer to this question is "No," Sgt. New will have low instrumentality and consequently, low overall motivation to perform this task. If he answers, "Yes," he'll have high instrumentality.

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. Instrumentality is influenced by a variety of factors, many of which are beyond the control of the employee or even the supervisor, for example organizational policies, judicial decisions, and leaders' behavior.

To determine Valence, Sgt New would ask, "Do I want what I anticipate getting?" If the answer the question is "No," Sgt. New will have low valence and consequently, low overall motivation to perform this task. If he answers, "Yes," he'll have high valence. Keep in mind that 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.

Expectancy Theory Leader Actions[17]

Understanding Expectancy Theory can greatly increase a leader's ability to motivate employees by manipulating the employee's perception of expectancy, instrumentality, and valence in any situation. 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 leader can:

    a. Clarify the path (between individual behavior and performance 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 knowledge, skills, and or abilities.

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[17] Adapted from Los Angeles Police Department. 1998. *West Point Leadership Course – Course Guide*. Los Angeles: Authors. p.70.

    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 leader can:

    a. Clarify the requirements for receiving a reward.

    b. Ensure that the leader does, in fact, control the advertised rewards.

    c. Distribute rewards equitably by administering them in a timely, fair manner.

3. **To increase valence**, a leader can:

    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[18]

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; and the SWAT commander who identifies training needs and timelines, 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,

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[18] Adapted from Associates of the Department of Behavioral Sciences and Leadership. 1999. *Course Guide for PL 300: Military Leadership (AY 99-00)*. West Point, NY: Authors. p. 61-65.

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 pay attention to a limited amount of things, 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 armed robbery situation doing your watch, 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? A great deal of research supports 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. *Setting Specific Goals.* Goals:

   a. May be based on the average past performance of jobholders.

   b. Should be specific, which often includes being quantitative and having a built in time limit or deadline.

   c. Must consider individual differences in the skills and abilities of your employees when establishing goals, since it is often necessary to establish different goals for different people performing the same job.

2. *Obtaining Goal Acceptance* – the extent to which an individual is committed personally to achieving an organizational goal. The leader must:

   a. Be trained in how to conduct goal-setting sessions with followers.

   b. Provide instructions and an explanation for implementing the goal-based program.

   c. Be supportive and not use goals to threaten their employees.

   d. Provide an incentive for accomplishing goals.

3. *Providing Support To Employees While They Pursue Established Goals.* Leaders must 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. *Providing Feedback To Employees While They Pursue Established Goals* – providing people information about their own progression toward the attainment of their goals. Leaders must:

   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.

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[19] Adapted from Associates of the Department of Behavioral Sciences and Leadership. 1999. *Course Guide for PL 300: Military Leadership (AY 99-00).* West Point, NY: Authors. pp. 73-74.
[20] *Ibid.* p. 71.

In our next lesson, 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 as that is the only theoretical correct thing to do. However, as you've learned in this lesson, Expectancy Theory has three theoretically correct options: increase expectancy, instrumentality, or valence, and it is your job to "select" the most appropriate leader strategy to resolve the area(s) of interest as you analyzed them. If you determined that a person was not motivated because they had low expectancy, then the theoretically correct course of action would be to increase expectancy.

After choosing the best theoretically correct leader strategy, you move to the next step where 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.

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EQUITY THEORY

Introduction

This lesson consists of:

1. Equity Theory

2. The Leader Thought Process: Assess Your Leader Plan

3. Case Study

4. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 6-1 through 6-14.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must complete the following steps:

   I. *Identify* the Areas of Interest.

   II. *Analyze* the situation using Equity Theory.

      A. *Identify* the logical chain of events.

      B. *Classify* all components of the comparison ratio.

      C. *Identify* the employee's resolution strategy.

   III. *Explain* Areas of Interest in terms of the employee's chosen resolution strategy(ies). Additionally, identify a root cause.

   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.

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

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 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?

EQUITY THEORY[21]

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 for their efforts.

Equity Theory makes the observation that human beings frequently compare their own skills, talents, efforts, and rewards against those of other people. More specifically, this 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 that is highly 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 believing that they'll get over it, but reflective leaders realize that unfairness, whether actual or perceived, needs to be addressed to maintain employee motivation, satisfaction, and performance. As a leader, potentially every decision you make can have equity consequences, but perceived inequity is more than someone else's problem – it is your problem, because it affects the motivation, satisfaction, and performance of your employees.

Since Equity involves employee perceptions, the theoretical leader strategy to resolve perceived inequity is always the same – the leader must 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 understanding equity theory provides a good start to plan a leader action. By recognizing how an employee perceives a situation and which Resolution 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.

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[21] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 59-61.

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 other actions that support organizational goals.

Definitions

To better understanding what is going on in an employee's mind when they believe they are not being treated fairly, we need to understand a couple of basic concepts.
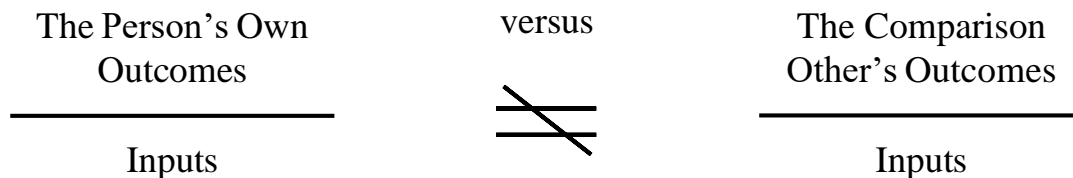
First, when a person believes they are being treated unfairly, it is because they are comparing themselves to another person. The other person is known as the *Comparison Other*. In some cases, the comparison other can be a specific person against which a comparison is made. In other cases, it could be a group of others, for example, "I'm a sergeant and other sergeants' don't have to do what I am doing and that's unfair." Additionally, the comparison other could be an ideal or even yourself at some earlier time. Regardless, the comparison other is the person's point of reference

Next, the person who perceives inequity compares the work, effort, time, etc. they invested in a situation with what another person put into their situation. The things both the person and comparison other put into a situation are known as I*nputs*.

In addition to comparing ones inputs with those of the comparison other, the person making the comparison also looks at the rewards, punishments, or other things that both people got out of a situation. The rewards, etc. are known as *Outcomes*.

When the person perceiving inequity puts all of these concepts together in their mind, they arrive at a *Comparison Ratio* as depicted in Figure 6-1.

Figure 6-1.[22]

$$\frac{\text{The Person's Own Outcomes}}{\text{Inputs}} \quad \text{versus} \quad \neq \quad \frac{\text{The Comparison Other's Outcomes}}{\text{Inputs}}$$

So when Officer Jones says, "I worked twice as hard as Smith and he got the promotion!" Jones is saying that his inputs (work/effort) are twice those of Smith, but that Jones' outcomes are lower than Smith's (he didn't get promoted but Jones' did) so Jones believes he was not treated fairly. Whether Jones' perceptions here are accurate or not is immaterial. They are the way Jones' feels and if he perceives sufficient inequity, he will invoke one of the six Resolution Techniques as a way of resolving his perception of inequity. This is where perceived inequity is a problem for the leader as these techniques potentially get in the way of the work group or organization achieving its mission.

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[22] Associates of the Department of Behavioral Sciences and Leadership. 1981. *Leadership in Organizations*. Washington DC: U.S. Government Printing Office. p. 59-60.

Resolution Techniques

These techniques are the way a vast majority of individuals will react to perceived inequity. Understanding them will help you not only recognize that Equity Theory is at work in a situation, but also provide food for thought when you design a leader plan to resolve the situation and restore in individual's lagging motivation, satisfaction, and performance. These techniques include:

1. *Altering Inputs* which is changing the amount or quality of work submitted thereby making inputs comparable to the relative rewards received. In our example above, if Jones thinks Smith is getting over, then Jones will slack off. In other words, Jones is thinking, "Why should I work so hard if I'm not going to get promoted?"

2. *Attempting to Alter Outcomes* which is trying to get more reward for what the person is already doing. This may involve approaching a boss to plead one's case, submitting a grievance or lawsuit, or using other means to get the rewards one seeks.

3. *Changing the Comparison Other* which is switching the person or reference point. If a person formerly compared himself 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, but an informed leader may counsel others to this solution.

4. *Acting on the Comparison Other* which is doing or saying something to the comparison 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 the comparison other's inputs, or even his or her outcomes, appear more equal to the person perceiving inequity.

5. *Cognitively Distorting the Situation* which is adjusting one's perception of reality (changing one's evaluation of inputs and outcomes), 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* which is quitting or escaping the situation one believes 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 the follower's perception of equity in a manner consistent with organizational goals. As simple as this is – not even a complete sentence – it is difficult to implement. In more practical terms, this strategy means that the leader needs to change the follower's mind about the situation as depicted in Figure 6-1 so that his or her perceptions of inequity are resolved in their mind. Understanding how the follower is thinking will suggest potential solutions for the leader to pursue.

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[24] Associates of the Department of Behavioral Sciences and Leadership. 1999. *Course Guide for PL 300: Military Leadership (AY 99-00).* West Point, NY: Authors. p. 71.

MOTIVATION THROUGH CONSEQUENCES (MTC)

Introduction

This lesson consists of:

1. Motivation through Consequences (MTC) Theory
   a. Operant Conditioning
   b. Observational Learning
   c. Self-Regulation
   d. Application of Rewards and Punishments
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 7-1 through 7-28.
2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must complete the following steps:

   I. *Identify* the Areas of Interest.

   II. *Analyze* the situation using MTC Theory.

   A. *Identify* the logical chain of events.

   B. *Identify* the behavior(s) the leader wants to increase/decrease.

   C. *Identify* the consequences that presently follow the behavior/Area(s) of Interest.

   D. *Identify* the models or examples of behavior that have been observed and imitated.

   E. *Classify* the employee's(s') level of self-regulation.

   III. *Explain* an Area of Interest in terms of how motivation through consequences affects a person's motivation, performance, and satisfaction. Additionally, identify the root

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cause.

    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.

MOTIVATION THROUGH CONSEQUENCES THEORY[25]

> "Praise makes good men better and bad men worse."
> —Thomas Fuller

In the earlier lessons, we dealt with theories that required a leader to know how a follower perceived the things around him or her. For example, with Expectancy theory, the leader must make an assessment of how the follower perceives their own knowledge, skills, abilities, and available resources; how the follower understands what the required behavior or task is; whether the follower thinks they will get a reward if they successfully accomplish the behavior; and lastly whether the follower likes the reward. The same is also true with Equity and Job Redesign theories – the leader must determine what the follower is thinking to have enough information to use the theory. Unlike the lesson case studies where all of this information is provided to you (the leader), the real world requires that the leader collect all of this information from a follower. If the leader is not a good counselor or the follower is not willing to explain what is on his or her mind, then what is a leader to do?

      One answer lies in today's lesson. The leader generates the desired behavior by manipulating rewards and punishments based solely on leader responses to follower behavior. The leader does not necessarily need any "inside" information, rather the leader just needs to observe the follower's behavior and react accordingly.

      This approach is called Operant Conditioning. Whether you studied basic psychology in high school or college, you have raised a child, or trained an animal; you have come in contact with this theory. In fact, when you were a small child, your parents probably used Operant Conditioning on you to shape your behavior. The guiding principle may have been no more than, "spare the rod and spoil the child,"[26] but the person guiding your behavior was using Operant Conditioning.

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[25] This section, through the subsection entitled, "Scheduling Rewards: When Does a Leader Reward?" is adapted from Halstead, J. F. 2011. Lesson 7: Motivation Through Consequences" in *West Point Leadership Course – Course Guide*. Nokesville, VA: Prince William County, VA, Police Department.

[26] Butler, S. 1677. *Hudibras*. Retrieved from http://www.phrases.org.uk/meanings/328950.html on April 18, 2011.

A close cousin is Observational Learning and it is the second theory we'll discuss in this lesson. The principles of Operant Conditioning say that the only way a person can learn is by personally experiencing the consequences (either a good/pleasant consequence like a reward or a bad/unpleasant consequence like a punishment) associated with their behavior. Building on this, Observational Learning goes a step further saying that people can also learn by watching the consequences experienced by other people. A person can learn by observing.

So, using these two theories, a leader can get the behavior he or she wants by providing consequences directly to followers so that they learn and if done openly, the leader can get the behavior he or she wants from other followers who are watching others' rewards and punishments.

One last theory that is included in this lesson is Self-Regulation. Over the course of an individual's life, he or she is exposed to numerous learning experiences – times where they either personally experience consequences associated with their own actions or they watch and learn from the consequences experienced by others. From this learning, an individual develops an internal sense of what is right and what is wrong and they govern their own behavior by providing their own rewards and punishments. As a law enforcement official, you deal with many folks who missed this bus. But many folks, perhaps yourself and your colleagues, have well developed senses of what is right and wrong and you hold yourselves to your own person, internal standards. From what we learned in Lesson 3, life's lessons are not equally learned by all individuals hence various individuals have differing types/amounts of Self-Regulation. But since this is the consequence of Operant Conditioning and Observational Learning and if understood and properly nurtured can make a leader's job much easier, so it is included in this lesson.

What's been said above is rather straight forward, but it is extraordinarily easy for those who do not understand the principles of these theories to screw things up by inadvertently rewarding undesired behavior and punishing desired behavior resulting in behavior a leader does not want. The net result can be a leader scratching his head trying to figure out where things went wrong. Correctly done, this set of theories is remarkably powerful. But to get it right, one must understand the theory that underlies these concepts so lets get started.

OPERANT CONDITIONING

As mentioned above, this is the direct application of consequences to follower behavior to either keep followers doing what the leader wants or stop them doing what the leader does not want. To make this happen, you need to understand four concepts that underlie this theory.

First, the original research done in Operant Conditioning was done training animals. As researchers learned to start and stop different behaviors in animals using these concepts and then looked to transfer what they learned to human behavior, the basic assumption was made that there is no need to communicate expectations and there is no need to understand what, if any, thinking is going on. The leader is purely reacting to follower behavior by providing rewards or punishments. This is different than Expectancy theory where a follower understands in advance what is expected and what he or she will get for successfully completing the act. Understanding this difference has tremendous effect on a follower's motivation as we will discuss in the next lesson. Keep in mind animal training. A human trainer can neither communicate with the animal nor grasp what they are thinking. Rather, the trainer provides rewards or punishments to the animal's behavior to facilitate learning.

Second, Operant Conditioning only applies to behavior that is actually done by the follower. If a person is not at a required place at the right time because they were chatting up a potential significant other in the break room and the leader punishes the follower, the punishment is for (and will stop) the behavior (chatting up the significant other). It is not a punishment for being late as you cannot punish something a person does not do; you punish what they are doing instead of what you want them to do. Another example: your child is not doing his homework in a timely fashion and you want him to do it. By punishing the child, you will stop what they were doing instead of doing their homework. You are not punishing not doing the homework. For those who have studied Operant Conditioning before, you will recognize this as the Dead Man's Rule: if a dead man can do it – it isn't a behavior.[27] Understanding this principle will help you focus on what behavior you are trying to stop and what behavior you are trying to start so that you can punish what you want to stop and reward what you want to start/continue. Remember this concept for later in the course when we discuss counseling. To effectively change someone's behavior, you must specifically indicate the behaviors that are undesired so the follower can do something about them.

The third concept to consider involves the consequence you provide to a follower's behavior. All consequences are neutral until you see what the consequence does to future behavior. What this means is that the leader can't say in advance whether a consequence is a reward or a punishment until you see what it does to the follower's behavior in the future. For example, a person works overtime and gets paid. In the future, when the opportunity to work overtime presents itself the person refuses to work. In this case, the behavior was working overtime and the consequence was money. Since the person now refuses to work overtime, the money is a punishment. (If you don't follow this then you've never been divorced and had to share half of everything you make with your ex). To continue with this example, next time you need someone to work overtime, you convince this officer to work and provide comp time instead of money. The officer continues to work overtime in the future when the opportunity presents itself. Comp time, because it is encouraging working overtime in the future, is a reward. (The officer can use the comp time to do something enjoyable and doesn't have to share it with the ex).

The last concept is timeliness. To be most effective, a consequence must follow immediately after a behavior. Remember Operant Conditioning is a learning theory so when a consequence immediately follows a behavior, the follower learns what will happen when he or she does this behavior. If you put your hand on a hot stove, the consequence to your act is immediate and painful. You learn to do something else with your hand instead of putting it on the stove. [28] If the consequence does not follow the behavior, then the consequence may be associated with whatever the follower just did instead of the older behavior that you want to reward or punish. For example, an officer does a great job at work on Monday, but you don't get around to rewarding the behavior until a week from Friday right after they were late for work because they overslept. What behavior is being rewarded?

With these concepts in mind, let's look at how consequences can be applied or withheld to obtain different behavior.

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[27] IMPROCOG. 2011. *What Are Behaviors?* Assessed at http://www.improcog.com/About/What-is-applied-behavioral-analysis.aspx on July 21, 2011.

[28] 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.

CONTINGENCIES: HOW BEHAVIORS AND CONSEQUENCES ARE COMBINED

There are only four combinations of behaviors and consequences – some are readily understood and some are a bit confusing. These combinations of behaviors and consequences are called contingencies and include: positive reinforcement (or reward), punishment, negative reinforcement, and extinction. We'll discuss each in turn.

Most everyone is familiar with the concept of positive reinforcement or rewards. This contingence occurs when a person does something, a pleasant consequence occurs immediately following, and the person continues to do the behavior in the future. As an example, an officer makes a significant arrest, gets a pat on the back from his peers and supervisors, so he continues to look for and make significant arrests. The behavior (making a significant arrest) was followed by a pleasant consequence (the pats on the back) and the behavior continues. This is an example of positive reinforcement or reward.

To emphasize the way a contingency is labeled, look back at the third concept about Operant Conditioning. You can't call the pat on the back a reward (or positive reinforcement) until you see what the consequence does to the officer's future behavior. Since the behavior continues, the pats on the back can be called a reward. The same applies to the remaining contingencies listed immediately below.

The second contingency is also a familiar one – punishment. In this situation a behavior is followed by an unpleasant consequence and in the future, the person does not do the behavior. As an example, an officer is taking an extra, unauthorized break at the 7-11 when a significant crime occurs on his beat. As a result, the officer is given a written reprimand. In the future, the officer stops taking extra breaks. The behavior (taking extra breaks) was followed by an unpleasant consequence (a written reprimand) and the behavior stops. This is an example of punishment.

The third contingency, negative reinforcement, follows from punishment and is often confused with punishment. In this situation, a person does an alternate, desired behavior to either escape or avoid punishment. Note: here the person is doing a desired behavior and no unpleasant consequence is provided so negative reinforcement actually increases desired behavior while punishment stops undesired behavior. You may have worked for (or know) a supervisor who has a terrible disposition and whose leadership style is to rip peoples' faces off when they do wrong. As a result, followers figure out what they need to do to avoid the pain. You learn that if you brief this boss about bad news face-to-face you get yelled at so in the future you stop briefing him. This is an example of punishment: a behavior followed by an unpleasant consequence that results in the behavior stopping in the future. Instead, when there is bad news, you send him an email to avoid getting yelled at. This is negative reinforcement: a new/different behavior is followed by no unpleasant consequence thus avoiding/escaping an unpleasant consequence resulting in a continuation of the new/different behavior in the future.

The last contingency is extinction. When a person does something and there is no consequence provided eventually the behavior stops. As an example, a new officer on a shift works extra hard to impress and gets some of the best numbers on the squad, but no one notices or says anything about it. As this continues over time, the new officer eventually stops doing the extra work because there is no consequence for his work. This is an example of extinction.

So, in review then:

- A behavior followed by a consequence and the behavior continues is positive reinforcement or reward.
- A behavior followed by a consequence and the behavior stops is punishment.
- A new behavior is started to avoid or escape an unpleasant consequence is negative reinforcement.
- A behavior is NOT followed by any consequence and the behavior stops is extinction.

It should be noted that Operant Conditioning is absolutely neutral about the behaviors it encourages or discourages. It is purely what follows a behavior. For example, if a person does something bad or good and it is rewarded, then the behavior will continue. Behaviors that are rewarded (or that allow a person to escape/avoid a punishment) will continue regardless of whether the behavior is good or bad. Likewise, behaviors (both good and bad) that are punished or receive no consequence at all will stop. It is up to you as the leader to make sure you are applying the proper consequences to get the behavior you want.

SCHEDULING REWARDS: WHEN DOES A LEADER REWARD?[29]

> "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, positive reinforcement (or rewards) increase the likelihood that the action will be repeated. However, the timing or scheduling of rewards can affect how a follower responds. The effectiveness of rewards actually varies with how often they are provided.[30]

There are a variety of reinforcement (or reward) schedules.[31] The two general categories that are most relevant to organizational leaders include continuous and partial reinforcement schedules. Under a *continuous reinforcement schedule*, a reinforcer follows every correct/desired behavior. Using this schedule increases behavior rapidly; however, when the reinforcement is removed, performance also decreases rapidly. On the plus side, this approach is great for a training environment where instructors can watch every student and reward correct behavior. On a daily basis, however, it is difficult for the organizational leader to be present to observe and reward every correct response of each follower. As a result, continuous reinforcement is not very practical for use over a long period of time.

With *partial reinforcement schedules*, a reward is not administered after every correct response, rather, rewards are only presented some of the time. With these schedules, a behavior will continue much longer than with continuous 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*

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[29] The remainder of this reading is adapted from Associates of the Department of Behavioral Sciences and Leadership. 1981. *Leadership in Organizations.* Washington DC: US Government Printing Office. pp. 75-83.
[30] 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.
[31] Ferster, C.B. and B.F. Skinner, *Schedules of Reinforcement* (New York: Appleton-Century-Crofts, 1957), pp. 3-7.

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.

With a *fixed ratio schedule,* the number of times a desired behavior occurs is held constant. For example, in a fixed ratio five schedule (FR 5), a reward is administered after every five times a desired behavior occurs. 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 (where a set percentage of the sales goes to the sales

Fig. 7-1. Examples of Partial Reinforcement Schedules[32]

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

person) are examples of fixed ratio schedules. These schedules produce very high rates of response.

With a *variable ratio schedule*, the number times a desired behavior necessary for a reward is varied around the average. So, for example, an individual on a ten to one variable ratio schedule (VR 10) might receive a reward after five desired behaviors, then after fifteen, and then after ten, with the average of one reward for every ten times a desired behavior occurs. Playing a slot machine represents a variable ratio schedule. In an organization, monetary bonuses lend themselves to this type of reinforcement schedule.

Salary 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, etc.). These schedules produce an interesting response pattern. Since only one desired behavior is necessary in the time interval, the response rate tends to drop off following the reward 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.[33]

With a *variable interval schedule*, reinforcers are administered at a variable time interval around some average. Praise, supervisory visits, and promotions may be appropriate for this type of schedule. Because followers are not sure when a reward might appear, response rates of desired behavior are very high and are extremely resistant to extinction.[34] This schedule is most practical for the typical leader. A squad supervisor circulates among her followers during the shift spending more time with some and less with others. Positive feedback (or rewards) from the leader to the follower's comes on a varying time schedule and it produces the highest, most persistent amount of desired behavior. Just remember though, if the interval is too great, extinction will set in and followers, receiving no feedback, will stop doing what you want them to.

[32] Associates of the Department of Behavioral Sciences and Leadership. 1981. *Leadership in Organizations.* Washington DC: U.S. Government Printing Office. p. 76.
[33] Hamner, *op. cit.*, p. 493.
[34] *Ibid.*, p. 492.

For the organizational leader then, the issue of reinforcement schedules can be critical. Leaders often become so involved in the day-to-day activities that they either forget to reward at all or revert to the time saver: "If you don't hear from me, you're doing alright" – neither of which will cause desired, future behavior. The solution? 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 with variable interval being usually more convenient for the leader. Practically, then what does this mean? As a leader, you need to look for people doing what's right and reward it in some fashion and when you see people doing what's wrong, you need to punish it. As you aren't going to see everything a follower does, you are effectively using a variable interval reinforcing schedule rewarding on an irregular schedule.

OBSERVATIONAL LEARNING: LEARNING FROM OTHERS' EXPERIENCES

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."[35] 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 reward 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 (rewards) and vicarious punishments.[36]

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, meaning behavior that goes unrewarded and/or 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.

SELF-REGULATION

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

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[35] Bandura, A. 1977. *Social Learning Theory.* Englewood Cliffs, NJ: Prentice-Hall, Inc.
[36] *Ibid.*, pp. 118-119.

capability to regulate our own behavior and exercise self-control. This process is known as *self-regulation*.

The process of self-regulation involves the measurement of a person's behavior against their own internal standards and the self-administration of internally imposed consequences. The table below summarizes these three components of self-regulation.[37]

Performance can be classified a variety of ways. 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.

Fig 7-2. Components of the Self-Regulation Process[38]

Performance	Judgmental Process	Self-response
Evaluative Dimensions	Personal Standards	Self-evaluative Reactions
Quality	Modeling/vicarious	Positive
Quantity	consequences	Negative
Originality	Own reinforcement	Tangible Self-applied
Authenticity	history	Consequences
Deviancy	Referential Performance	Rewarding
Ethicalness	Norms	Punishing
Results	Social comparison	No Self-response
	Personal comparison	
	Collective comparison	
	Valuation of Activity	
	Regarded highly	
	Neutral	
	Devalued	
	Performance Attribution	
	Internal factors	
	External factors	

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 that

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[37] Bandura, *op. cit.*, p. 130.

[38] Associates of the Department of Behavioral Sciences and Leadership. 1981. *Leadership in Organizations.* Washington DC: U.S. Government Printing Office. p. 77.

of another individual or to a group of individuals. As discussed in Equity Theory, 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.

The Attribution process we studied in Lesson 4 also plays a role in the judgment phase as we are influenced by the perceived reasons for or causes 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 like luck or good weather. 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 the judgment process, we generate internally controlled consequences or 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 violating one's ethical values. 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.

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.[39] 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, rewards, a plan of evaluation, and a timeframe for evaluation are clearly spelled out. When invited, followers may make contributions to the development of their goals.[40]

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 either 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 tasks successfully accomplished or equipment kept operating, rather than failure like tasks not accomplished 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 rewards 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.

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

[39] 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.
[40] 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).

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 instead 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 also 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.'"[41] 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 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 reward process, reinforcement of the follower may be ineffective or even squandered. In this case, training may be instrumental in developing the desired performance patterns.[42]

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 an

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[41] Bandura, A. as quoted by Hamner in *Motivation*, p. 157.
[42] Hamner and Hamner, *op. cit.*, pp. 156-159.

athletic activity, marksmanship, or any other complex activity lends themselves to shaping where simple tasks are learned first, followed by combinations of simple tasks, then finally the final task. The teacher cannot wait for the entire act to be performed before reinforcement is given so frequent rewards are given as a student masters the preliminary steps.

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: rewards promote behavior while punishment 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 stop undesirable behavior. 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.[43]

- 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.

- 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.

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

- 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).[44]

Douglas McGregor provides an example of simple, effective punishment in the **Hot Stove Rule** that we discussed above. 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 from the stove. The point, then, is to strive to emulate nature in carrying out disciplinary measures.

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

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[44] *Ibid.*, p. 120.

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.[45] 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 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."[46] In troubleshooting deficient follower

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[45] Stouffer S.A. et al. as cited by S.H. Hays ed. in *Taking Command* (Harrisburg, Pa.: Stackpole Books, 1967), p. 188.
[46] Kerr. S., "On the Folly of Rewarding A, While Hoping for B," *Academy of Management Journal*, 18:4, (December 1975), p. 781.

performance, the leader should examine "what behaviors are being rewarded."[47] If these are not the desired behaviors, adjustments must be made.

SUMMARY

First, if performance is desirable, reinforce/reward it. Second, if performance is undesirable, punish it, but also reassess such things as the rewards provided by the organization. Are undesired behaviors being rewarded and desired behaviors punished? If so, then changes are needed to get individual behavior on track. Additionally, consider whether the lack of performance is 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 undesired behavior. The final step, of course, is to reassess performance after action is taken and reward correct behavior. Punishment stops undesired behavior but the leader must couple reward for the desired behavior for change to stick. 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.

Rewards and punishment can be powerful methods with which the leader can directly influence follower performance. Rewards 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:

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?

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[47] *Ibid.*

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Editor's note: For brevity sake, only references used to create this lesson are listed here. References for footnotes in material adapted from the above sources are not repeated here as the original footnotes contain sufficient information to locate the original material.

EFFECTIVE FOLLOWERSHIP

Introduction

This lesson consists of:

1. Followers and Followership
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 9-1 through 9-18.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must conduct the following steps:

   I. *Identify* the Areas of Interest.

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

   A. *Identify* the logical chain of events.

   B. *Classify* the follower(s) style of followership in terms of:

      1. Degree of Critical Thinking.
      2. Amount of Organizational Participation.

   C. *Classify* the follower(s) style of followership in terms of:

      1. Performance Initiative.
      2. Relationship Initiative.

   III. *Explain* how followers can become leaders through effective followership and how leaders develop followers to become leaders. Additionally, identify a root cause.

FOLLOWERS AND FOLLOWERSHIP[54]

> "If you aren't part of the solution, you're part of the problem."
>
> - Charles Rosner[55]

Followership is defined as the role of followers in a leadership process; it means committing and working cooperatively with other followers and leaders to achieve shared goals by harmonizing individual roles and goals with the larger vision of the group (or the larger vision of an organization, community, or society), and may include acting like a leader when the situation requires.[56] OK, but what does this mean? It means that followers are just as responsible for accomplishing the mission as leaders. It means that followers are in the same boat as leaders and everyone needs to help row the boat. And when leaders aren't present or fail to act, followers step up. Followers are not passive entities that only work when a leader magically energizes them. Rather, they are part of the process and should be just as invested in success as the leader.

The characteristics of good followership are:

- Initiative

- Accountability

- Dependability

- Learning from others

- Responsibility

- Effective Communications

- Commitment

What does followership look like? Compare this to our definition of leadership "Influencing people by providing purpose, direction, and motivation while operating to accomplish the mission and improving the organization." While the definitions appear to be a mirror image of one another, do you see common characteristics between followership and leadership? Of obvious importance is that there can be no leadership without followership. Nothing in either of the above definitions relates to position, only influence to achieve the assigned task or responsibility. Hence, everyone in a police organization is a follower, while some also occupy formal leadership positions. Even those in formal police leadership positions must practice followership and leadership simultaneously. Superiors, subordinates, and peers all practice leadership and followership.

Is one action more important than the other? Is leadership more important or is followership more important, or are they equally important? The preeminent researcher on

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[54] Adapted from Bowman, M., Et. Als. 2004. *West Point Leadership Course – Course Guide*. Virginia Beach, VA: Virginia Beach Police Department Criminal Justice Academy. pp. 118-123.

[55] Rosner, C. 1967. Advertising Slogan for Volunteers In Service To America (VISTA) as cited at http://wiki.answers.com/Q/Who_coined_the_phrase_you're_either_part_of_the_solution_or_you're_part_of_the_pro blem accessed on July 27.2011.

[56] Prince, H. T. 2003. Unpublished class notes from Lesson 9: Effective Followership in *Leadership in Police Organizations™*. New York: McGraw-Hill – Primis Publications.

followership, Dr. Robert E. Kelly, has studied the influence of leadership and followership on organizational success. His research has shown that leaders are responsible for 20 percent of an organization's success and followers are responsible for 80 percent of the organization's success. He concludes that leadership generally has an impact out of proportion to its numbers in most organizations. One can't really say that leadership or followership is more important than the other. In fact, due to the close relationship between leadership and followership, developing one concept develops the other. Both are important skills that should be developed and practiced.[57]

Types of Followers[58]

In his research, Kelley found that followers could be classified into five different groups when measured using two different dimensions: *the degree of critical thinking* and *level of organizational participation*.

    The degree of critical thinking runs the spectrum from independent, critical thinking to dependent, uncritical thinking. A follower thinking for himself or herself characterizes independent, critical thinking. This follower does not depend on the organization to determine how and more importantly, what to think. Conversely, a dependent, uncritical thinker depends on the organization to determine what to think. How to think is unimportant to the dependent follower because the outcome is preordained and learning how to think is unnecessary. Few people will be at one extreme or the other of this continuum; rather each follower will exhibit thinking behaviors that lie somewhere between these two extremes.

    The second dimension that helps characterize a followership style is the follower's *level of organizational participation*. Followers who show initiative and are active in seeking out responsibility and challenge are said to be *active organizational participants*. *Passive organizational participants* are just the opposite; they show no initiative, must be prodded to participate, and avoid responsibility and challenge. These two descriptions lie at the ends of a continuum and just as the degree of critical thinking, most followers exhibit participatory behaviors somewhere between these two extremes.

    Combining these two variables, Kelley found five broad followership styles: alienated, passive, conformist, pragmatist, and exemplary depending on the amount/type of critical thinking and organizational participation exhibited by the follower.

    Alienated followers display a high degree of independent critical thinking; however, they are passive organizational participants who are not engaged in helping the organization accomplish its mission. Kelley estimates that between 15 and 25 percent of employees in most organizations display this followership style. He believes that most alienated followers were formerly exemplary followers who feel that they have had negative experiences within the organization. An example would be a senior officer who is passed over for a promotion during a departmental restructuring. The officer feels she was screwed by the organization so is content to sit back and comment on what's wrong, but not do anything to change it.

    Passive followers do not think independently and are not engaged in accomplishing the organization's mission. Kelley estimates that this followership style is displayed by 5 to 10 percent of followers. As these followers don't think critically and are passive organizational participants, they don't seek out responsibility or challenge and avoid taking initiative. Leaders

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[57] Kelley, R. 1992. *The Power of Followership*. New York: Doubleday. pp. 7-8.
[58] Ibid. pp. 87-124.

must tell them what to do and how to do it. Examples of this type of follower are officers referred to as "oxygen thieves" or being retired on active duty.

   Conformist followers do not think critically but are actively engaged in accomplishing the organization's mission. This style of followership is often displayed by between 20 and 30 percent of followers. While conformist followers are energetic, their dependent uncritical thinking limits their organizational effectiveness. They will energetically carry out their directions even if those actions harm the organization or its purpose. This is the type of officer who gladly follows any order even if it is illegal or otherwise questionable simply because the leader gave it. These followers are "yes people."

   Pragmatist followers display varying degrees of critical independent thinking and organizational participation depending on the situation. These followers are organizational chameleons who display enough of whatever behavior they believe will get them by in any given situation. Kelley estimates that between 25 and 35 percent of followers display this followership style. These followers strive to make no waves and to draw as little attention as possible. They are the politicians who sense which way the wind is blowing and go with the flow.

   Last, **exemplary followers** display independent critical thinking and are very engaged in helping the organization accomplish its mission. These types of followers are loyal to the organization but don't hesitate to disagree constructively. They are energetic responsible adults who are very important to accomplishing the organization's mission. It behooves leaders to encourage a maximum number of followers to be exemplary followers and not look upon them as hindrances. They have the organization's mission at heart and though they may be outspoken, are on the same team as the leader.

EXEMPLARY FOLLOWERSHIP SKILLS[59]

What are the skills practiced by exemplary followers? Kelley found that exemplary followers possessed and used skills that other types of followers didn't. They included:

- Self-leadership

- Focus, commitment, and motivated by incentives beyond personal gain

- Competence and Credibility

- Honest courageous conscience

- Ego control

   Exemplary followers lead themselves. They exercise independent critical thinking and as such they are able to anticipate and act to fulfill organizational needs. These followers can be delegated responsibility and don't require close supervision. Exemplary followers view themselves as equals to their formal leaders and recognize that their work is different from but not less important than their superior's work.

   They are committed to something greater than themselves. The commitment to the greater goal can be mistaken for personal loyalty. While these followers are loyal to deserving individuals their loyalties are prioritized. This level of commitment allows a higher level of focus on organizational goals and stimulates selfless service to the greater good.

   Exemplary followers hold themselves to a higher standard than the organization often does. They recognize that competence plays an integral role in achieving the greater goal to

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[59] Kelley, R. 1992. *The Power of Followership.* New York: Doubleday. pp. 125-147.

which they are committed. These types of followers continually seek out learning and new experiences that contribute to achieving their greater goals. A key ingredient in their performance is their adherence to the Dirty Harry maxim, "A good man knows his limitations."[60] They recognize the areas in which others possess higher levels of competence and defer to those with greater expertise. Competence and an accurate self-perception gain this type of follower a high level of credibility with superiors, peers, and followers.

Adherence to a personal ethical framework is also a hallmark of the exemplary follower. This is in part a result of their independent critical thinking, which stimulates ethical analysis of their personal and professional actions. They don't blindly accept their superior's or even the organization's definition of ethical behavior. These followers practice moral courage in pursuing the greater good that they are committed to achieving.

Exemplary followers try to support their superiors. They make their superior's job easier by being proactive. They will disagree with their superiors but will do so in a manner that isn't threatening and with the organization's benefit in mind. These types of followers put their egos aside in achieving the greater good to which they are committed.

STAR PERFORMANCE[61]

In his book, *It's Your Ship*, Captain D. Michael Abrashoff describes his process of turning a poorly performing U.S. Navy destroyer into one of the best ships in the Navy.[62] Of particular note was the process where he interview each of the over 300 personnel on board where he asked each to provide their ideas on how the destroyer could improve. In so doing, Abrashoff created an environment where exemplary followers could contribute to the ship's efficiency. Additionally, he created a culture onboard that nurtured and encouraged others to become exemplary followers.

In a similar fashion, Bell Laboratories was interested in improving its productivity and thought that the key ingredient was in making employees more productive. They asked Dr. Robert Kelley (the followership guru we discussed above) to assess the characteristics of their best employees so that their characteristics could be developed in others or could be sought in the hiring process.

Kelley's first step was to identify Bell's best performers. He accomplished this by selecting those with the best performance appraisals from both superiors and peers. He then hypothesized that the best performers possessed certain traits or skills that enabled them to outperform their peers. Those traits and skills, which are listed below, seem to make good sense in terms of defining and enabling superior performance.

- Higher IQ, cognitive abilities, logical thinking, etc.

- Better problem solving skills, creative intelligence

- Driven, ambitious, highly motivated to succeed

- High tolerance for risk taking

Amazingly, he discovered that there was no significant difference between the best performers and average performers in these dimensions. Dr. Kelly and leaders at Bell

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[60] Callahan, H. 1973. *Magnum force*. Hollywood, CA: Warner Brothers.
[61] Kelley, R. 1998. *How To Be A Star At Work*. New York: Three Rivers Press.
[62] Abrashoff, D. M. 2002. *It's Your Ship: Management Techniques from the Best Damn Ship in the Navy*. New York: Warner Business Books.

Laboratories were mystified. If the traits and skills identified above were not unique to superior performance, then what traits were?

Dr. Kelley changed the focus of his research. He began to examine not what these superior performers had, but how they used what they had. Kelley found that superior performers do their work differently than average performers. He also discovered nine fundamental work strategies that differentiated superior performers from their average peers. Dr. Kelley calls this "Star Performance." In order of importance, these nine strategies are:

- Initiative

- Networking

- Self-management

- Perspective

- Followership

- Leadership

- Teamwork

- Organizational savvy

- Show-and-tell

Star performers exhibit higher levels of initiative. An important aspect of this initiative is that it is often exercised in many small ways. These performers take the initiative to do little things that help co-workers and the organization perform better. They also exercise initiative in major activities as well. In doing so, they assume more risk than their peers.

Star performers network for different reasons than average performers. Star performers network for information not personal benefit. They know who possesses the information they and the organization need in order to accomplish goals. They share the information they have with others as well as mine information from others.

Star performers manage their work lives in order to increase their performance, and hence their value to the organization. They seek out new learning, experiences, and responsibility.

Star performers have a broader perspective than average performers. They develop the ability to see the big picture taking the perspective of superiors, peers, customers, and competitors. This perspective helps the star performer focus efforts in order to improve his/her performance.

Star performers are good followers. They hold their ego in check and actively pursue organizational goals. They are actively engaged in accomplishing the organization's mission and engage in critical independent thinking.

Star performers are team players. They understand and help the team take collective responsibility. They enable group processes such as socialization of new members, contribute to group cohesion, and resolve inter and intra-group conflicts.

Star performers engage in "Small-L Leadership." These star performers use their expertise, credibility, and social skills to stimulate group consensus on goals. They influence others to commit to the group's or organization's goals.

Star performers have organizational savvy. They know how to work within the system to achieve their goals, navigate competing interests within the organization, and when to avoid conflict or, if necessary, how to meet conflict directly.

Star performers are good at knowing who to sell an idea to and how to best package the message for a particular audience. A star performer knows the right information and how to package it.

STAR PERFORMANCE: THE FOLLOWER AND THE LEADER

Understanding the types of followers that exist in organizations and having a detailed understanding of what STAR performance is helps a leader on two levels. First, since everyone in an organization is a follower, understanding what exemplary followership looks like will help you maintain (or change) your own behavior and become the best follower possible. Since many of you reading this section are also leaders, understanding what exemplary followership looks like will help you create an environment for it to blossom among your followers just as Abrashoff did on his ship. Failing to create a supportive environment for followership will doom a work group or organization to mediocrity. What will you choose to do in your agency?

Partnering[63]

While Robert Kelley's work listed above thoroughly describes followership based on his research, other researchers have also pursued this topic. An appealing complementary approach to this topic is referred to as "Partnering." Rather than looking at follower behavior as Kelley did, this approach looks at the relationship between the leader and the follower. In their research among leaders and followers, Potter, Rosenbach, and Pittman found that the best relationships felt like partnerships between the leader and the follower in that each was willing to give and take, even switch roles, in order to accomplish the mission and further the work group or organization.

Yet even given the best of conditions and assuming that both leaders and followers are out to ensure mission accomplishment, when a follower attempts to build a relationship with a leader it can easily be assumed that the follower is "brown-nosing" or in some other way looking out for themselves rather than working for the good of the organization. So how then can leaders and followers develop effective partnerships without creating individual or group motivation issues in the process?

Like Kelley's work discussed above, the partnership approach is developed around two dimensions: a follower's commitment to high performance and a commitment to developing effective relationships with their partners.

The first dimension, performance initiative, considers a follower's view of accomplishing their assigned tasks along four separate factors:

- Doing the Job. Does the follower look for creative and different ways to get the job done?

- Using Oneself as Resource. Does the follower view themselves as (and presumably develop themselves) as a resource to accomplish their tasks?

- Working with Others. Does the follower get along and work well with co-workers?

- Embracing Change. How well does the follower adapt to and accommodate change?

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[63] Hughes, R., Ginnett, R. & Curphy, G. 1999. *Leadership: Enhancing the Lesson of Leadership* (3rd Ed.), New York: Irwin/McGraw-Hill. pp. 342-344.

The second dimension, relationship initiative, (despite the label) measures a follower's views of how insightful and brave they are by looking at four separate factors:

- Identifying With the Leader. To what extent does the follower understand and internalize the leader's vision.

- Building Trust. Does the follower build trust with the leader?

- Courageous Communication. Like Kelley's exemplary follower, does the follower speak his or her mind with the leader?

- Negotiating Differences. Does the follower actively work to resolve differences with the leader?

Taken together these two dimensions, performance initiative and relationship initiative, define four types of followers: the subordinate, the valued contributor, the politician, and the partner.

The **subordinate** is what we referred to in Job Redesign theory as a low growth need person or what Kelley referred to as a passive follower. Being low in both performance and relationship initiative, this follower comes to work, does what he or she is told to do and rises in the organization based on seniority not performance.

The **valued contributor** is high in performance initiative but low in relationship initiative. As a result, they are focused on their work and perhaps even driven by it, but have little time or use for relationships or interpersonal activities at work.

The **politician** is the opposite of the valued contributor in that they are low in performance initiative but high in relationship initiative. This type of follower is sensitive to the interpersonal activities of a work group or organization. As we will learn in Lesson 12 when we study the stages of group development, every work group has both task and interpersonal activities to master to develop into a productive team. Just as the valued contributor might help the group learn and keep on its task, the politician helps the group overcome interpersonal activities as it grows.

The **partner** is high in both initiatives: performance and relationship. This person is very insightful and capable of doing outstanding work as well as interacting with others in the work group making them very valuable to the leader as he or she builds and maintains the productivity of group.

Curious about your followership or partnership styles?

Search the Internet for "Followership Questionnaire" to find Kelley's short survey and score sheet to determine which of the five followership styles you practice. Dr. Kelley also has a survey that suggests how you can develop into a STAR performer, but that may more difficult to find for free. To determine your partnering style search for "Performance and Relationship Questionnaire" although this one is less common than Kelley's survey.

Followership and the Rest of the Course

While this course is designed for and directed at becoming better leaders, this lesson points out that leaders and followers are inseparable. The characteristics of one also apply to the other. As you continue with this material, you should keep in mind that the leadership topics work as well going up the chain of command as a follower as down the chain of command as a leader. And if you feel that this stuff won't work in my organization, remember the concepts of the exemplary follower. Will you accept the status quo and still quietly by or will you work to implement what you've learned to improve your work group and agency? The choice is yours.

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AREA OVERVIEW[88]

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 an open system model 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 main reason you are attending this class and devoting the thought and effort it requires. In previous areas we learned about *who* a direct leader influences and more importantly through the various leader actions suggested with each theory – *what* a leader needs to do in a situation. In this area, we will learn *how* a leader accomplishes these suggested leader actions.

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. These theories support the notion that a leader wants to get things done, followers have various needs, so the leader and follower conduct a transaction: the leader gets work and the follower get rewards or avoids punishment.

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 at his or her disposal to get things done, 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 thinking about 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

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[88] Adapted from Los Angeles Police Department. 1998. *West Point Leadership Course – Course Guide*. Los Angeles: Authors. p. 193.

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.

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 18-1 through 18-24.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must conduct the following steps:

    I. *Identify* the Areas of Interest.

    II. *Analyze* the situation using the Bases of Social Power.

    A. *Identify* the logical chain of events.

    B. *Classify* the leader's bases of power.

    C. *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. Additionally, identify a root cause.

LEADERSHIP AS AN EXCHANGE[89]

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 a situation. What this means is a leader must take into account the follower(s) and the situation when attempting to influence the follower to some end. We did exactly this with Expectancy Theory and the Stages of Group Development lesson. Using Expectancy Theory, the leader had to determine a follower's level of Expectancy, Instrumentality, and Valence in a given situation. Once this was done, the leader then provided what the follower needed to provide or restore motivation. The leader interacted with the follower in a given situation to get the job done. If the situation were to change, the leader would have to reassess and perhaps provide a different leader action to motivate the follower. The same is true with the Stages of Group Development model. The leader has to determine in which stage a group is and then change his or her behavior to provide what is needed by the group in a given situation. If the situation changes, then the leader has to reassess the group's stage of development and provide the appropriate behavior.

Two points in this process 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 provide certain benefits to followers.[90] These benefits become an integral part of the social exchange process between

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[89] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. pp. 209-220.
[90] *Ibid.*, p. 10.

leader and follower. E. P. Hollander, a leadership researcher with numerous works to his credit, outlines two essential elements for the transactional process between leaders and followers: mutual trust and the perception of fairness as well as 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 between the leader and his or her followers.

Social Exchange and Leadership

The leadership process must take into account the nature of the transaction that occurs between the leader and follower. In a purely economic sense, the 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.[91]

What is the nature of this exchange? Clearly, some social exchange activities incur a cost for the leader 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 or rewards. Recall from our lesson on Motivation Through Consequences that reinforcement is usually defined as a specified consequence after a specific behavior to get the behavior to recur. Reinforcement is traditionally in the form of material items such as food, tokens, money or other pleasing consequence. In the leadership process, however, reinforcement includes social concepts as well like approval, recognition, and liking/friendship from the leader 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.[92] One of the earliest researchers of social exchange put forth the following propositions about the effects of reinforcement on social exchange activities:[93,94]

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.

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.[95]

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.[96] 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.[97] 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.[98] As we learned in Equity Theory, as people compare their effort and contribution against those of others, 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. Each of the findings, then, suggests to the leader ways of facilitating the exchange process between leader and followers as well as among followers.

Idiosyncrasy Credits

The results of Game Theory and other social interaction research clearly show that face-to-face interactions lead to reciprocal behavior. This means that when two individuals interact, they are each getting something out of the exchange. In a sense, each person needs something that the other person provides through the interaction and as a result, each person is "rewarded" in some fashion during the interaction. A similar process occurs in leadership. The leader and the follower each have expectations of the other setting up an informal contract that both parties see as binding. If an exchange produces no profit for either party, the follower gets nothing for his efforts or the leader gets no work from the follower, the leader-follower relationship is unlikely to continue satisfactorily. At a minimum, the relationship will become extremely strained as you may have seen in dealing with difficult employees. Even in moderately successful leader-follower relations, however, the leader normally provides the group members certain benefits that they cannot provide for themselves.[99]

A more specific way of looking at this exchange process was advanced by E. P. Hollander with a simple model of *Idiosyncrasy Credit*.[100] Here, he suggests that group members who contribute to the success of the group get in exchange credits from the group. As a group member contributes more and gains more credits, he or she is allowed greater respect, flexibility in terms of group norms, and higher status. With a group where there is no organizationally appointed leader, the person with the most idiosyncrasy credit becomes the de facto leader. In organizational settings, the person with the most credit is also looked upon as the group leader; however, when the de facto leader is not the organizationally appointed leader, there can be problems. The reverse is also true. A person can screw up and make the group look bad thereby losing credits. A convenient way of looking at this is in terms of a person's reputation. A person who contributes a great deal to the group has a good reputation (a high balance of idiosyncrasy credits) while those who do not contribute have a poor reputation.

With a formal leader, 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 (gain the highest idiosyncrasy credits), 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 18-1 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 their leader. As can be seen, the ultimate status of the leader depends on the balance of positive and negative idiosyncrasy credits conferred by the group.

Figure 18-1. Idiosyncrasy Credits and Leadership[101]
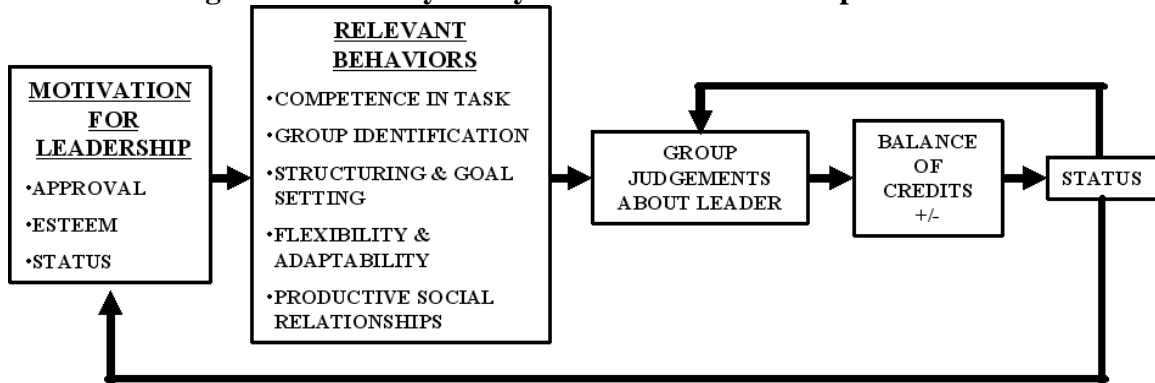
Hollander cites three studies specifically designed to test Idiosyncrasy Credit Theory.[102] One study demonstrated that high-competence people who violate group norms are tolerated more than low-competence people. Moreover, the violation has less impact on the person's influence if it occurs after the 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 group cuts a respected leader more slack than a leader who is not respected). 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 with a group, the greater the acceptance and the higher the idiosyncrasy credit). 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. A leader in an organization must do more than be appointed to the position and show up for work. He or she must contribute more to the group than others thereby gaining more credit resulting in being accepted by the group as its leader. As suggested by the figure above, this is accomplished by helping the group realize its goals and build/maintain its 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 exchange or informal contract between leader and follower helps us to understand the dynamics of the process.

The Bases of Social 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? In the real world, not every leader will provide what every follower needs so the notion of an exchange does not work, especially when leaders are rapidly moved from one job to another in the name of leader development. How then does a leader cause the follower to respond appropriately – to get the job done? The answer lies in the leader having power over followers.

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 18-2, 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.[103] In other words, power depends on how much the dependent person needs the resource and if it can be obtained elsewhere.

Figure 18-2. Properties that Determine the Degree of Power[104]
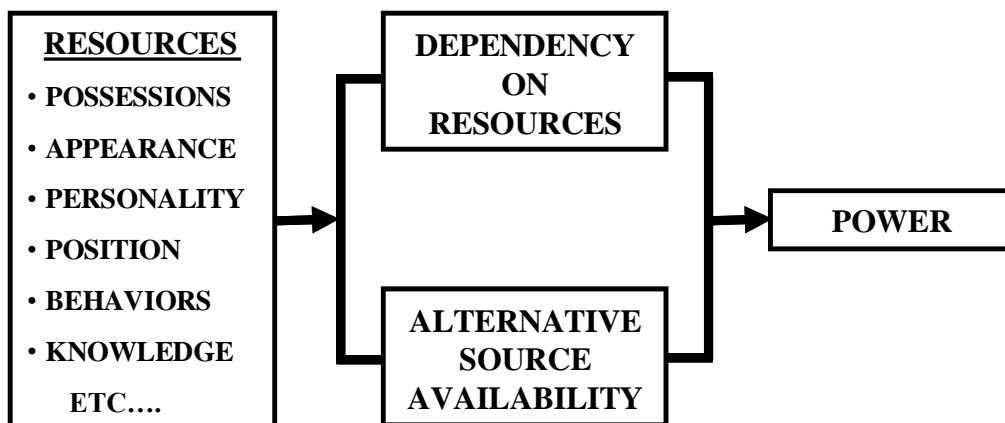
Another aspect of power that needs to be remembered is that in most cases the exercise of power involves cost to the power source. That is, the power source must lose something in terms of material resource, time, status, and so on, when power is expended. In fact, once expended, many sources of power 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.[105] 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 leader must be aware of whether the follower has complied. Therefore, exercise of these sources of power can be of considerable cost to the leader in terms of time and attention. Reward observations are relatively easy for the leader to make since people are prone to make the leader aware of their compliance. Coercive power, on the other hand, has more sinister effects. Observation becomes surveillance since the follower will usually try to hide noncompliance. The leader must be constantly present for compliance to result from coercive power. This presents itself as micromanagement on the part of the leader which may foster distrust and tend to break down the social exchange process.

As we discussed in the lesson on Motivation Through Consequences, a leader has available both personal and impersonal forms of rewards and punishments. Personal forms

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 merely knowing the location of things can make the leader dependent upon that person.

In summary, expert power is long lasting power based on the leader's training and experience in a particular area that is needed by the follower. An example is an EMT who has years of training and experience. Just because you watch them start an IV, doesn't mean you are now capable of doing it. Information power is short-lived power based solely on one person knowing information that another needs. Once the information is transferred, the power is lost.

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. This base of power is anchored in the fact that a follower wants to be like a leader so the follower complies with the leader's wishes. 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 leader is not aware of the influence. Referent power can also stem from a need for a follower 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.

In summary, referent power is the influence a leader has over a follower based on the desire of the follower to be like the leader. The follower so respects (or in extreme cases worships) a leader that they emulate[108] everything about the leader. An example here is when a child wants to be just like a successful sports star. The leader may not even realize that they have the influence.

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

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.[106] 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.

In summary then, reward power is influence generated because a leader can give the follower something they want so they comply. Coercive power is influence generated over a follower because the leader can provide something unpleasant if the follower does not comply with the leader's wishes.

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 accept a lawyer's influence when we need a will, a stockbroker's influence for an investment, or a confidant's influence 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 a 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.[107]

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 that the

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.[109]

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 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.

Legitimate power, then, rests in a leader's position in a group.

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 leader is often concerned with how psychologically close he or she should be to followers. 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.[110] 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 (give-and-take) venture and that both parties are engaged in a social exchange process designed to maximize rewards and minimize costs for both the leader and the follower, 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. This is to say that one person is getting a small return and the other is getting a lot. For example, a follower who works extra hard for a single pat on the back from a leader is not

engaged in an equal exchange: The leader gets lots of work and the follower gets little reward. As discussed previously, power is a function of the overall dependency of one individual on another. In the long run, however, an unbalanced situation as described above inevitably leads to efforts to reduce the imbalance. For instance, the hard-working follower realizes that he is getting short changed so he begins to work less – perhaps an amount commiserate with the reward. With less work, less reward seems more balanced. 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, unions, 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. Think of a follower who is a minister outside of work and his leader is a parishioner or a lower ranking police officer who hires higher ranking police officers for his off-duty security business.

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. A good-looking follower may have some influence over his or her leader if there is a physical attraction.

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 would lead to close supervision and a heavy reliance on coercive power to influence followers.

Douglas McGregor, a leading organizational theorist, has hypothesized that behind every leader decision or action lays 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.[111] 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 18-3 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 which believes that humans are motivated to meet their most pressing needs. In Maslow's hierarchy of needs, the most basic needs are security and safety. The most advanced needs are the need for recognition (esteem) and to self-actualize or grow in one's life to the point of achieving life-long goals.[112]

A review of these two sets of assumptions suggests that a leader holding Theory X assumptions believes that people are responding to their lower-order needs of physiological and safety/security as described by Maslow in his hierarchy of needs model; whereas a leader who holds Theory Y assumptions believes that people are responding to the higher need levels of 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

Figure 18-3. Leader Assumptions of Human Nature[113]

THEORY X ASSUMPTIONS	THEORY Y 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**	• **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**

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.[114] 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) 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.[115]

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

When a leader uses a base of power and attempts to influence a follower, how will the follower react? It depends on which base of power a leader is using, but there are four possible outcomes to a leader's influence attempts: resistance, compliance, identification, and internalization.

Resistance

Resistance is the refusal or reluctance of a follower to carry through with a leader's request. Resistance can occur openly when a follower actively avoids complying with the leader's influence attempt but it can also be more subtle such as refusing to enforce an organizational policy or looking the other way.

A leader's over reliance on coercive power may lead to resistance if followers feel they are being treated unfairly or abused. Clearly, overt resistance is a difficult and a risky approach for any follower to take, even when the leader is despised. However, followers can usually find ways to rebel in a way that satisfies their need to resist without making themselves the object of their leader's coercive power.

Compliance

Compliance is the acceptance of the leader's influence and a corresponding change in behavior; however, no attitude change is necessary. Compliance involves accepting the leader's influence in order to receive social and material rewards or to avoid social or material punishment. Since the source of influence retains control over the rewards and punishment, followers may show public acquiescence (compliance) without changing one's attitude about the behavior.

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.

Identification

Identification is the acceptance of influence because the leader 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, however, the follower may revert to his or her 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 him or her and have great trust in and respect for him or 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 – the leader). 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.

Internalization

Internalization is the total acceptance of a leader's influence and consequent behavior and attitude change due to the intrinsically rewarding nature of the influence attempt. We may integrate a leader's ideas or values because we see the wisdom of the influence attempt. The new attitude is durable and deeply rooted because it becomes our own, hence controls a follower's behavior even when the leader is not present and for that matter even after a leader moves on to another position. Internalization is a permanent change to the follower.

As an example of what all of these follower reactions mean and how they work, take a young woman who is prejudiced against a certain race and routinely displays behavior reflecting this prejudice, despite her older brother's insistence that she cease this behavior. The young woman is displaying resistance to her brother's attempts to influence her.

The young woman decides to join the police department. She 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. (The difference between compliance and identification has to do with the follower's motivation. With compliance, the follower is changing their behavior to receive a reward or avoid a punishment. With identification, the behavior change is due to the follower's respect of the leader and the follower's desire to imitate the leader. With identification, behavior changes and there may be temporary attitude change, but when the leader leaves, the follower may revert back to their old views and ways meaning they revert to compliance.)

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.

OK, so what? This lesson points out that whether or not followers accept influence and the degree to which the influence affects the follower, depends on the kind of power relationship existing between the leader and the follower. A leader first needs to determine what outcome they want from his or her followers (resistance, compliance, identification, or internalization), and then use the appropriate base of power to achieve that outcome. Does the leader want to have followers that merely comply with his or her influence attempts or does the leader want followers who do things out of a desire to be like the leader? The first, compliance, requires that the leader supervise to ensure compliance. Can a shift supervisor be everywhere all of the time? No so there will be times when followers do not do what they are supposed to simply because the leader isn't around. Or, would it be better to have followers who have internalized the right values and procedures and consequently do the right thing because of their respect for the leader and desire to be like him or her? You bet. Achieving this latter state depends on the type of power the leader develops and uses to influence followers. In summary:

- Coercive power leads most often to resistance or compliance
- Reward power leads most often to compliance
- Legitimate power leads most often to compliance
- Expert power leads most often to identification and internalization
- Referent power leads most often to identification and internalization[116]

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 leaders and their followers, between leaders and their peers, and between leaders 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.[117] 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.

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SITUATIONAL LEADERSHIP THEORY™

Introduction

This lesson consists of:

1. Situational Leadership Theory™
2. Case Study
3. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 20-1 through 20-16.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must complete the following steps:

   I. *Identify* the **Areas of Interest**.

   II. *Analyze* the situation using Situational Leadership Theory™.

      A. *Identify* the logical chain of events.

      B. *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. Additionally, identify a root cause.

   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.

SITUATIONAL LEADERSHIP THEORY™[118]

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. This approach emphasized the relationship of a leader and a follower but did not take the situation into account. Likewise, Leader Member Exchange looked at the relationship between a leader and a follower without taking the situation into account. While these two theories are valuable building blocks in our understanding of leadership, we need to consider how the situation influences the leader-follower relationship.

      In this lesson, we will further our understanding of leadership by focusing on how successful leaders adapt their leadership style to fit the requirements brought to bear by the

situation. Using Hersey and Blanchard's Situational Leadership Theory™[119], we will see how effective leaders use a combination of directive and supportive behaviors in response to a combination of follower competence and commitment in order to optimize individual and 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 Theory™ would suggest that the leader treat these two groups of followers differently by leader behaviors to match the followers' attributes in a given situation.

      Followers and the situations they are asked to confront are dynamic. An experienced employee may acquire significant experience in their job, but given life's turns, this person may be confronted with a new situation for which he or she has little or no competency. Situational Leadership Theory™ would prescribe this employee's leader change his or her behavior in the new situation to maintain group efficiency. A leader's failure to adapt to a new situation will result in an inappropriate match between leader actions and a follower's development level and subsequently poor individual, 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.

The Followers' Level of Development

In Situational Leadership Theory™, *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 as depicted below[120]. Situational Leadership Theory™ identifies these four combinations as *Followers' Level of Development* that take into account the competence

and commitment of the individual employee or group <u>for a specific task</u>. If the task changes, the followers' level of development will need to be reassessed.

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

Personality Per Phase

Phase 1 = 1,2,4,6,8,9

Phase 2 = 2,3,4,5,6

Phase 3 = 2,4,5,6,7

Phase 4 = 1,2,6,5,8

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 and labeled as an *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 than they anticipated, or they find it less interesting. This disillusionment decreases their commitment, while their competence is increasing. This combination of traits is level D2, a *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 continue doing it. 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 Theory™ 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 Theory™ identifies these four combinations as styles and they are depicted below.[121]

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 labeled 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 follower 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. Followers 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 Theory™

Situational Leadership Theory™ 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 Theory™ 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 dictates of the situation?
- Do you alter your leader style according to employee needs?
- Have you successfully altered your leader style before?
- If not, do you believe you have the ability to change your leader style?
- If you can't alter your leader style, how can you still optimize group performance?

Conclusion

As one of the initial and more popular leadership theories, Hersey and Blanchard's Situational Leadership Theory™ provides us with a simplistic but useful approach to conceptualizing the interaction of followers, leaders, and situations as we explore leadership. As we study this phenomenon further, we will examine other situational variables as well as alternate theories.

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1982. *Management of Organizational Behavior: Utilizing Human Resources.* (4th Ed.). Englewood Cliffs, NJ: Prentice-Hall, Inc. in their article about Situational Leadership™. In their Academic Year 1995-1996 Course Guide for *PL 300: Military Leadership*, the Associates cited from Blanchard, K.H., Zigarmi, P., & Zigarmi, D. 1985. *Leadership and the One Minute Manager.* New York: William Morrow. Since this time, Hersey and Blanchard have revised their model and republished their *Management of Organizational Behavior*, which is now in its tenth edition (2011). With each edition, Hersey & Blanchard have refined their material changing definitions and labels. Consequently, if you have attended other training that presented this theory you have probably seen different definitions (for example the follower variable of Maturity Level or Readiness Level), but the basic concepts remain the same.

[120] Associates of the Department of Behavioral Sciences and Leadership. 1995. *Course Guide for PL 300: Military Leadership (AY 95-96).* West Point, NY: Authors. p. 147.

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TRANSFORMATIONAL LEADERSHIP

Introduction

This lesson consists of:

1. Transformational Leadership Theory

2. Student Journal Entry

3. Excerpts from *The Subordinates*

Assignment

1. **Read Course Guide**, pages 21-1 through 21-18 including the abridged article, *The Subordinates*.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must complete the following steps:

   I. *Identify* the **Areas of Interest**.

   II. *Analyze* the situation using Transformational Leadership Theory.

       A. *Identify* the logical chain of events.

       B. *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. Additionally identify a root cause.

   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.

TRANSFORMATIONAL LEADERSHIP[122]

> "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 without obvious rewards or punishments. 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.[123] 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[124].

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:

- Crisis, change, and instability

- Mediocrity

- Follower disenchantment

- 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 Adolph Hitler are examples of the dark side of transformational leadership. While these situations are tragic, they do demonstrate the awesome power of transformational leadership.[125]

       The transformational leader surveys the future environment, and 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:

- Develop and communicate a vision

- Use unconventional strategies to achieve performance

- Communicate high expectations and confidence (especially in areas such as integrity, ethics, and performance)

- Show concern for followers

- 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.[126]

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 Gandhi 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.[127]

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. If you haven't, then many Hollywood films depict transformational leaders. Mel Gibson's portrayal of William Wallace in the movie *Brave Heart* is a fine example as is Morgan Freeman's role as high school principal Joe Clark in the movie Lean On Me. But you don't need to be a Hollywood actor or a fire-and-brimstone preacher to be a transformational leader. You can be one right now so 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.

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[122] Adapted from Associates of the Department of Behavioral Sciences and Leadership. 1999. *Course Guide for PL 300: Military Leadership (AY 99-00).* West Point, NY: Authors. p. 207-212.

[123] Bass, B. M. 1998. Transformational Leadership: Industrial, Military, and Educational Impact. New Jersey: Lawrence Erlbaum Associates, Inc.

[124] Bass, B. M. 1998. Transformational Leadership: Industrial, Military, and Educational Impact. New Jersey: Lawrence Erlbaum Associates, Inc.

[125] Bass, B. M. 1998. Transformational Leadership: Industrial, Military, and Educational Impact. Mahwah, NJ: Lawrence Erlbaum Associates, Inc. and House, R.J., & Howell, J.M. 1992. Personality and charismatic leadership. *Leadership Quarterly*, 3, 81-108.

[126] Kotter, J. 1996. *Leading Change.* Boston: Harvard Business School Press. pp. 67-83.

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[127] Peters, T. 1987. *Thriving on Chaos.* New York: Harper and Row. pp. 482-494.

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Editor's note: For brevity sake, only references used to create this lesson are listed here. References for footnotes in material adapted from the above sources are not repeated here as the original footnotes contain sufficient information to locate the original material.

STRESS MANAGEMENT

Introduction

This lesson consists of:

1. Stress and Stress Management
2. Student Journal Entry

Assignment

1. **Read Course Guide**, pages 22-1 through 22-32.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must conduct the following steps:

   I. *Identify* the **Areas of Interest**.

   II. *Analyze* the situation using Stress and Stress Management Theory.

   A. *Identify* the logical chain of events.

   B. *Identify* the actual and perceived demands on people in this situation.

   C. *Identify* peoples' actual and perceived capabilities in this situation.

   D. *Identify* the stress responses evident in this situation.

   E. *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. Additionally, identify a root cause.

   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.

STRESS & STRESS MANAGEMENT[128]

> **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 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 stress is too high for too long, the results can be dysfunctional and even devastating regardless of who you are.

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[128] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 101-126 & 323-342.

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.

> Given enough stress and enough time … stress makes us all wimps!
> - Anonymous

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.

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.[129] 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:

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[129] 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).

- How can individuals – and, in particular, the leader – reduce stress and cope more effectively with unavoidably 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 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. 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 which are designed to help a person fight or flee, the sympathetic nervous system also affects (and in this case suppresses) sexual excitement, responses, 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 over-activation 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.[130]

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[130] For those familiar with Kevin Gilmartin's work, *Emotional Survival for Law Enforcement*, this is "The Hypervigilance Biological Rollercoaster®" – the high from a stressful job followed by the low of off-time.

In addition to physiological responses to stress, we react typically in many other ways. For example, in the opening vignette, Jim is worried about setting an example, and wonders if he is ready for increased responsibility. Additionally, Jim has been angry and irritable with his wife despite having achieved an important promotion. These are psychological responses which are often accompanied by behavioral responses like Jim's apparent increase in smoking since he was promoted, having trouble sleeping, problems with his sex life. This overview of stress and its responses is a good start, but to be able to manipulate it, the leader must know a bit more of the dynamics of 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.[131] Selye defined stress by the presence of an internal physiological stress response. Without evidence of a stress response, 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 above 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. This process is shown below in Figure 22-1. Selye labeled this three-stage process the General Adaptation Syndrome (GAS). 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

Figure 22-1. Stages of Stress Adaptation[132]

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[131] Selye, H., *The Stress of Life* (New York: McGraw-Hill, 1956).

[132] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 106.
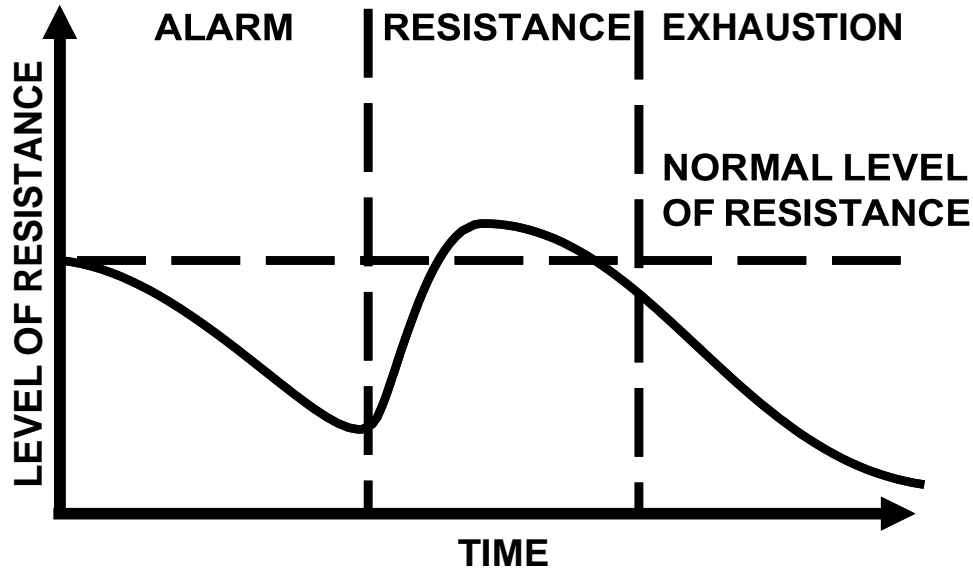
body has adapted, and the characteristic signs of the Alarm Stage disappear.

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 in order to produce the heat demanded by the thermostat. 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). But despite working longer to produce heat, the heating system functioning will appear smooth during the Resistance Stage.

However, following a prolonged Resistance Stage, the heating system may begin to break down from overuse – or even blow up. The heating system will no longer be able to function in response to the demands of the thermostat. 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.[133]

A group of stress researchers provided some evidence in support of the stressful consequences of change. Thomas Holmes and Richard Rahe developed the scale known as the Social Readjustment Rating Scale (SRRS), to measure the impact of different events or life changes.[134] The scales lists 43 possible events that might occur in a person's life and assigns a point value between 0 and 100 Life Change Units (LCUs) to each event. Events include the death of a spouse at 100 LCUs, a divorce at 73 LCUs, the addition of a family member at 39 LCUs, et cetera. A person using the scale to measure their stress level would look at the list of 43 events, select those that he or she has experienced in the past year, and then total the LCUs.

> Curious about your SRRS score? Go to
> http://www.emotionalcompetency.com/srrs.htm and take the scale or search the
> Internet for "Social Readjustment Rating Scale."

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.[135] 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 the number of visits to sick-bay while on cruise. Higher LCU scores were also associated with greater job dissatisfaction for the participants in that study.[136]

More recently, students of stress have questioned whether the effects of change in one's life are always harmful.[137] Changes may not always be disruptive and stressful in an adverse

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[133] Toffler, A., *Future Shock* (New York: Random House, 1970).

[134] Holmes, T.H., & R.H. Rahe, "The Social Readjustment Rating Scale," *Journal of Psychosomatic Research*, (1967), 11, pp. 213-218.

[135] 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).

[136] 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).

[137] 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.

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.

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.[138] 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.

> Interested in determining your own personality type as it relates to stress? Go to http://cl1.psychtests.com/take_test.php?idRegTest=2986 for an abbreviated Type A personality survey. Alternately, you can search the Internet for "Type A Personality" and you will find several surveys available for free.

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[138] Friedman, M., & R.E. Rosenman, *Type A Behavior and Your Heart* (New York: Knopf, 1974).

Another individual variable that has been studied is the relationship between stress and life stage of development. The concept of life stage, introduced in our lesson on 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 make some executives thrive and others develop ulcers or even commit suicide? Why does one police officer balk at attempting a dangerous rescue while another jumps in without hesitation? Obviously, the same situation can evoke different responses in different people. How can we satisfactorily take into account the effects of the situation (like the SRRS above) as well as the characteristics of the individual (like Type A characteristics) 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.

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 are usually feedback effects from an individual's stress experience that influence later episodes of the cycle just described.

With the help of Figure 22-2, we can more closely examine the stages in the interaction between the individual and the environment that account for all of the factors we've addressed (physiological response, environment, and personality) in a single model – the Person-Situation Interaction Model of Stress.

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 in a given situation.

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 under load 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 22-2. 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 22-3. 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.
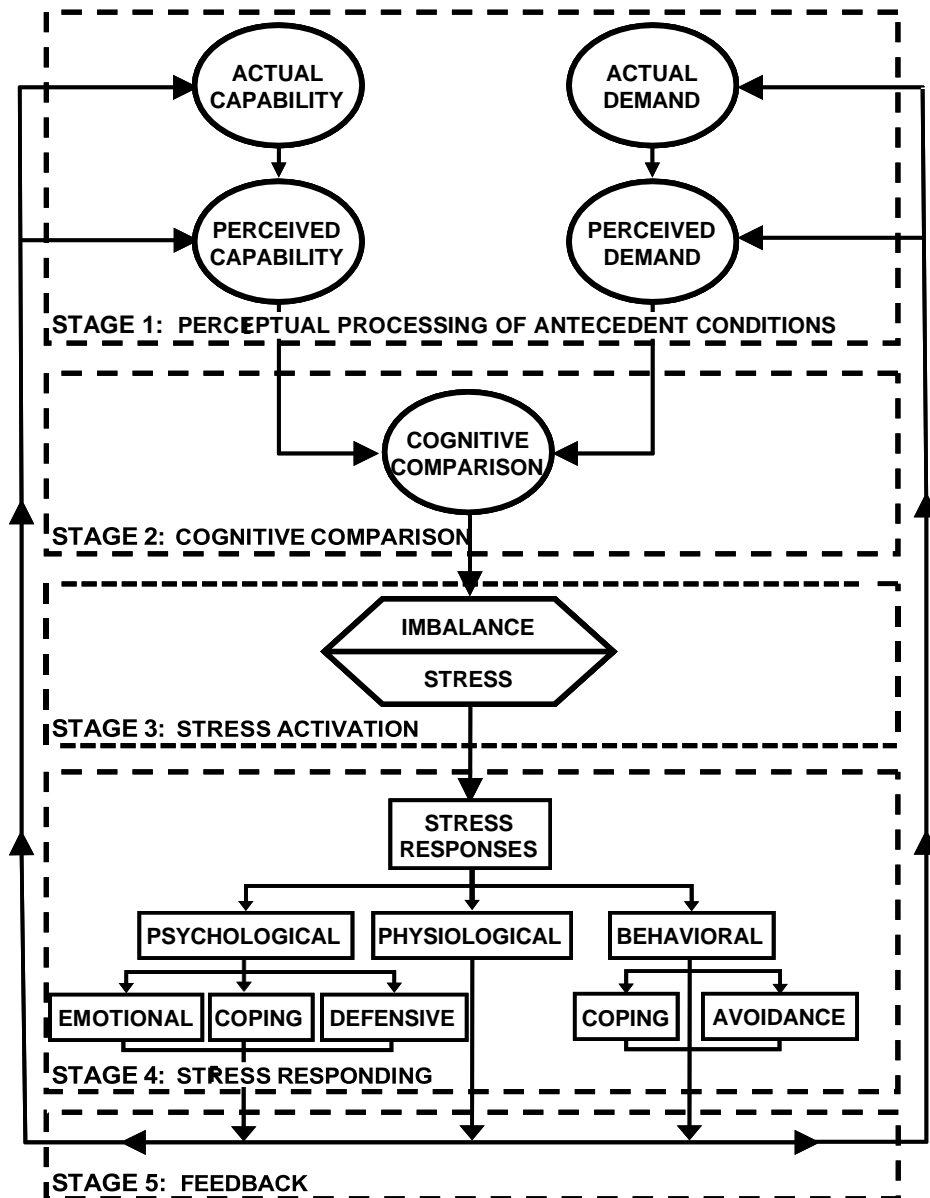
If the cognitive comparison in Stage 2 results in an imbalance that activates stress in Stage 3, any combination of the several response systems shown in Stage 4 may occur. Physiologically, a person may respond in several ways that have already been described. The arousal produced by the activation of the sympathetic nervous system can lead to a

Figure 22-2. Person-Situation Interaction Model of Stress[139]

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[139] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 111.

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        │PERCEIVED│         │PERCEIVED│
        │CAPABILITY│        │ DEMAND  │
        ╰─────────╯         ╰─────────╯
  STAGE 1:  PERCEPTUAL PROCESSING OF ANTECEDENT CONDITIONS
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STAGE 1: PERCEPTUAL PROCESSING OF ANTECEDENT CONDITIONS

COGNITIVE COMPARISON

STAGE 2: COGNITIVE COMPARISON

IMBALANCE

STRESS

STAGE 3: STRESS ACTIVATION

STRESS RESPONSES

PSYCHOLOGICAL — PHYSIOLOGICAL — BEHAVIORAL

EMOTIONAL | COPING | DEFENSIVE   COPING | AVOIDANCE

STAGE 4: STRESS RESPONDING

STAGE 5: FEEDBACK

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.[140] 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?

Figure 22-3. The Stress-Performance Relationship[141]

[140] 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).

[141] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 113.
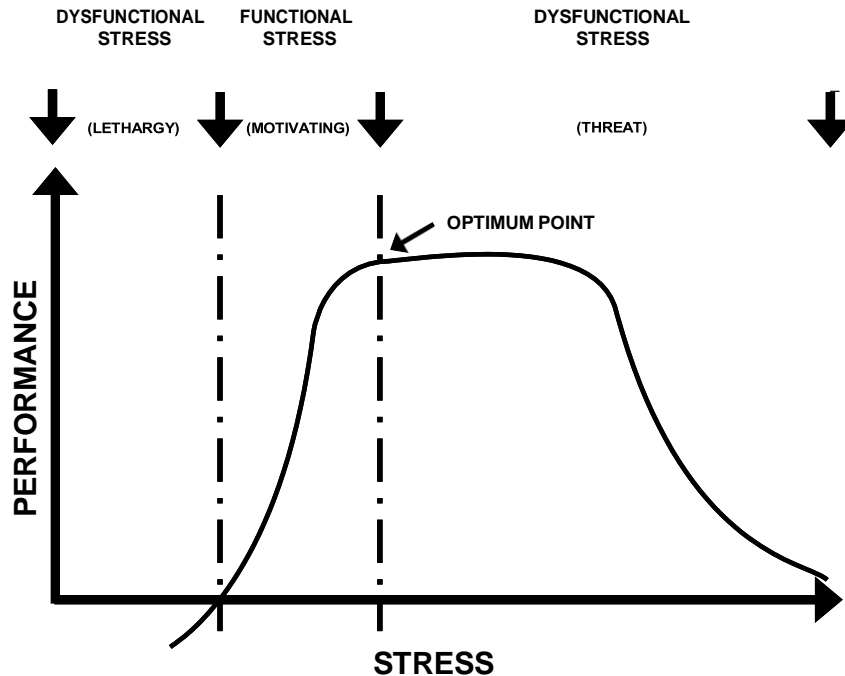
Along with physiological responses, people also experience psychological responses when stress is activated. These psychological responses may take three basic forms. People may experience emotions such as fear, anger, or depression or they may engage in either psychological coping or defensive responses. For example, an officer confronted with his first accident reconstruction might think, "This won't be so difficult if I will just follow the procedures I just learned in the crash reconstruction course I completed last month at A&M." Perhaps you have also told yourself, "Why should I spend my time in this neighborhood looking for dopers and the sale of dope when everyone I take off the street is replaced by two more?" These are, respectively, examples of psychological coping and defensive responses.

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 a stressful situation and actually sit down and do it which is coping behavior. Or they may give in to the temptation and avoid the stressful situation altogether thereby relieving the stress by doing something else rather than the stressful demand. For example, an officer hears that a request for backup only a couple of blocks away for a domestic disturbance in an apartment complex known for violent encounters between police and the residents. If the officer responds and backs up the officer his stress response is coping behavior. If the officer decides to conduct a traffic stop in lieu of responding to the backing up call, he is engaged in avoidance behavior.

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, successfully working robbery-in-progress calls over the past two years), 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 (because the officer has responded to the calls so often, they are less stressful). The actual ability to make handle a robbery-in-progress call 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 future demands and capabilities, usually in a negative way – "Boy, I screwed that up…I'm not about to try that again." Actual and perceived demands may be similarly modified through feedback. .

According to several studies, feedback from the environment appears to be especially important to coping.[142,143,144] Consider, for example, a study conducted on stress with laboratory animals. Some animals received shocks and some received 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 by displaying less 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 22-2 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.[145] Cues or signals from the environment are evaluated cognitively for their potential to do physical or psychological harm. Thus, in a depressed neighborhood where there are constant conflicts between rival gangs that always include gun fire the sound of crackling, loud noises would likely be appraised as threatening. But on the Fourth of July, the same sounds probably would not be interpreted as threatening. 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

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[142] 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.
[143] Weiss, J.M., "Effects of Coping Responses on Stress," *Journal of Comparative and Physiological Psychology*, (1968), 65, pp. 251-60.
[144] Weiss, J.M., "Psychological Factors in Stress and Disease," *Scientific American*, (1974), 226, pp. 104-113.
[145] Lazarus, R., *Psychological Stress and the Coping Process* (New York: McGraw-Hill, 1966).

in combat, the more remote the chances are of getting out alive or unharmed.[146] It is this increasing probability of the anticipation of injury or death (physical threat) and not combat itself 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.[147] 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, 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."[148] 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.[149] 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.[150] 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

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[146] Grinker, R.R. & J.P. Spiegel, *Men Under Stress* (New York: McGraw-Hill, 1945).
[147] Mechanic, D., *Students Under Stress* (New York: The Free Press of Glencoe, 1962).
[148] *Ibid*., pp. 162-163.
[149] 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.
[150] 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.

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 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 22-2. 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:[151]

> *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 22-2.

> *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 22-2, 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 22-2?

> *Proposition 4.* "Stress results from too much of a good thing – or not enough of it!" Recall from Figure 22-3 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

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[151] McGrath, J.E. ed., *Social and Psychological Factors in Stress* (New York: Holt, Rinehart & Winston, Inc., 1970).

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 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 that every peace officer and firefighter in Texas, or a soldier on any battlefield throughout history have faced. 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 Dallas-Fort Worth Airport (and undoubtedly at other busy airport around the world), air traffic controllers have to process an extremely high volume of air traffic, as many as 180 takeoffs and landings per hour.[152] This condition is known as task overload, with stressful consequences that can be devastating. One researcher who studied air traffic controllers at Chicago's O'Hara reported that high blood pressure was four times more common among air traffic controllers than in a comparison group.[153] 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

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[152] General Electric. 2011. *Txnologist*. Accesses at http://www.txchnologist.com/2011/the-ten-busiest-airspaces-in-the-u-s/dfw on August 24, 2011.
[153] Martindale, D., "Torment in the Tower," in *Chicago* (April 1976), pp. 96-101.

disorders and reported the most dissatisfaction with work.[154] (In terms of the stress model in Figure 22-2, how would you explain such results?)

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 is 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 ambiguity 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. 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 ambiguity. 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.[155] 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 ambiguity 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.

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[154] 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).
[155] 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.[156,157,158,159] Over time, the characteristic adjustment to stress shown in Figure 22-4 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.[160]

Figure 22-4. Psychological Stress Symptoms in Army Basic Training[161]

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[156] Datel, W.E., C.F. Gieseking, E.O. Engle, & M.J. Dougher, "Affect Levels in a Platoon of Basic Trainees," *Psychological Reports*, (l966), 18, pp. 271-285.

[157] Datel, W.E., & E.O. Engle, "Affect Levels in Another Platoon of Basic Trainees," *Psychological Reports*, (1966), 19, pp. 407-412.

[158] *Ibid.*, pp. 903-909.

[159] Datel, W.E., & S.T. Lifrak, "Expectations, Affect Change, and Military Performance in the Army Recruit," *Psychological Reports*, (1969), 24, pp. 855-879.

[160] Datel, W., & L. Legters, "The Psychology of the Army Recruit," *Journal of Biological Psychology*, (1970-71), pp. 2, 12, pp.34-40.

[161] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 119.
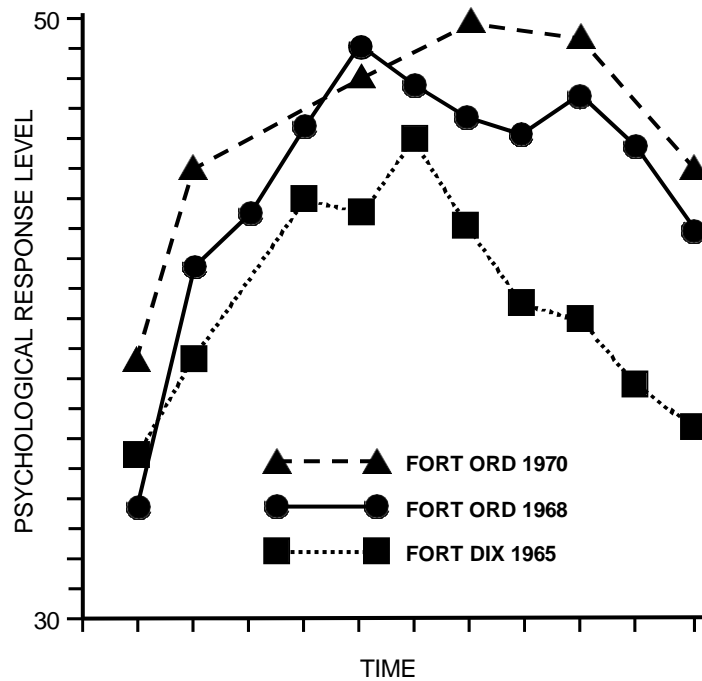
The levels of psychological stress and the patterns of stress over time are different in basic training from those reported under combat conditions using the same instrument. During the Vietnam War, medical aidmen flying dangerous helicopter rescue missions and Special Forces soldiers awaiting an attack on an isolated outpost reported considerably lower levels of psychological responses to stress than recruits during basic training.[162,163] 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 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.

It should be noted that during the years of these studies, Army Basic Trainees were a mix of volunteers and draftees which is a different mix than today's military as well as different from the personnel that volunteer to undergo police academy training. Nevertheless, the knowledge here can be transferred to today's training. As pointed out
in our discussion of Abasement in the Socialization lesson, the leader as both a trainer and a stress manager has a serious question to consider when attempting to use stress in initial organization 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

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[162] Bourne, P., W. Coli, & W. Datel, "Anxiety Levels of Six Helicopter Ambulance Medics in a Combat Zone," *Psychological Reports*, (1966), 19, pp. 821-822.
[163] Bourne, P., W. Coli, & W. Datel, "Affect Levels of Ten Special Forces Soldiers Under Threat of Attack," *Psychological Reports*, (1968), 22, pp. 363-366.

long-term effects of different levels and kinds of stress during initial socialization in a large police academy.[164] 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 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 the ways in which a leader can manage the level of stress.

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 we discussed in Figure 22-3. Another look at Person-Situation Interaction Model of Stress in Figure 22-2 shows us that the leader has three areas with which to work in stress management:

- the manipulation of perceived and actual demand on the follower which we will call *demand-related strategies*

- the assessment and subsequent enhancement of perceived and actual capability of the follower which we will call *capability-related strategies*

- the alleviation of dysfunctional responses exhibited by the follower (physiological, psychological, and behavioral) which we will call *response-related strategies*

The first and second strategies may involve attempts either to increase or decrease stress levels in the follower while 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 thereby increasing stress to increase performance. 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.

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[164] 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.

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:

- Explaining the rationale for change

- Predetermining goals

- Involving the affected personnel in the planning process

- 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 deplores 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.[165] 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.

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.[166] (Simple planning calendars and daily "To Do" charts can assist

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[165] Forgus, R. and B.H. Shulman, *Personality: A Cognitive View* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1979), p. 259.
[166] Mackenzie, R.A., *The Time Trap* (New York: McGraw-Hill, 1972).

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.[167] 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.[168]

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 until the individual can efficiently do the task under the same conditions of stress as he or she will be required on the job.[169]

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

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[167] Sobley, *op. cit.*

[168] Ellis, H.C., *Fundamentals of Human Learning and Cognition* (Dubuque, Iowa: W.M.C. Brown, 1972), pp. 85-105.

[169] Cannon-Bowers, J. A. & Salas, E. 1998. "Individual and Team Decision Making Under Stress" in *Making Decisions Under Stress* (J. A. Cannon-Bowers & E. Salas Ed.). Washington DC: American Psychological Association. pp. 17-38.

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.[170] 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.[171] As classes were 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 communications 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.)[172] 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.[173] 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.

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[170] 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.

[171] *Ibid.*, p. 150.

[172] 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).

[173] 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.

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.[174] 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 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 (for example a verbal reprimand) to stop the tardiness and providing a reward (perhaps 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., which may be job related.[175] 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

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[174] *Ibid.*, p. 667.

[175] 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).

available (even during work time).[176] 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.[177]

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 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.[178]

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 that provides feedback. Through the use of display equipment, the individual learns to control specific body functions by applying conscious control to the 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,[179] there are some difficulties with its use in the work environment.[180] 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.

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, developing any type of distraction may work like creating friendships with non-police personnel, participating on a sports team, or any other activity that isn't related to work. 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*.[181] Escape or time-outs of a long duration can help resolve such problems.

Before leaving this strategy, it should be noted that 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., 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 external resource 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

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[176] Frew, D.R., "Transcendental Meditation and Productivity," *Academy of Management Journal*, (1979), 17, pp. 362-368.
[177] Benson, H., *The Relaxation Response* (New York: William-Morrow, 1975).
[178] Hassett, G., "Teaching Yourself to Relax," *Psychology Today* (August 1978), pp. 28-40.
[179] Kamiya, J., T.X. Barber, N.E. Miller, D. Shapiro and J. Stoyva, *Biofeedback & Self-Control* (Chicago: Aldine Publishing Co., 1977).
[180] 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.
[181] Maslach, C. and S.E. Gackson, "Burned-Out Cops and Their Families," *Psychology Today*, (May 1979), pp. 59-67.

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. In other cases, the leader (having done his or her homework to learn what resources are available) might suggest a group. In either case, the leader's support/encouragement is necessary. 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.

Figure 22-5. Leader Strategies for Stress Management[182]

DEMAND-RELATED LEADER STRATEGIES:
   a) increase demands incrementally
   b) change allocation of resources
   c) manipulate the physical environment
   d) alter the reward system
   e) when dealing with change:
        1. explain the rationale for the change
        2. predetermine goals
        3. involve the affected people in the planning
        4. provide feedback

CAPABILITY-RELATED LEADER STRATEGIES:
   a) skill training
   b) coaching
   c) train for stress
   d) concentrate on physical health

RESPONSE-RELATED LEADER STRATEGIES:
   a) rewards/punishments
   b) relaxation or meditation
   c) biofeedback
   d) time-out (switching to another activity)
   e) social support (membership in groups)

Summary

If law enforcement officers are to survive their stressful careers, 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 their 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.[183]

Many police officers are familiar with the work of Dr. Kevin Gilmartin. In his work, *Emotional Survival for Law Enforcement*, he outlines the nature of stress as well as several

[182] Adapted from Los Angles (CA) Police Department. (1998). *West Point Leadership Course – Course Guide*. Los Angeles: Authors. p. 105.
[183] Gilmartin, K. M. 2002. Emotional Survival for Law Enforcement: A Guide for Officers and Their Families. Tucson, AZ: E-S Press.

suggested solutions to "survive" a career in law enforcement. Dr. Gilmartin offers a straight-forward prescription for stress which rests squarely on the concepts described above in this lesson. A thorough knowledge of both this lesson and Dr. Gilmartin's book will give you a firm understanding of stress as well as strategies to address both your own stress as well as that of those you lead.

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 stress management intervention. These are but a few concerns for leaders evaluating the effectiveness of their stress management programs. 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.

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Editor's note: For brevity sake, only references used to create this lesson are listed here. References for footnotes in material adapted from the above sources are not repeated here as the original footnotes contain sufficient information to locate the original material.

COMMUNICATIONS AND COUNSELING SKILLS

Introduction

This lesson consists of:

1. Communications and Counseling

2. The Leader as a Counselor

3. Student Role-Plays / Practical Exercise

Assignment

1. **Read Course Guide**, pages 23-1 through 23-30.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must conduct the following steps:

   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. Identify a logical chain of events

   B. Misunderstanding of leader's message

   C. Personal issue that interferes with job performance

   D. Career Development issue

   E. Performance Appraisal issue

   III. *Explain* how the follower's issue is interfering with individual, group, and organizational outcomes. Additionally, identify a root cause.

   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, you will take either the role of the leader-counselor, employee, or evaluator-observer. You will have a few minutes to digest the information provided and plan how you will conduct your portion of the role play. 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.

COMMUNICATIONS AND COUNSELING[184,185]

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 with good fields of fire as they had done dozens of times during Marine 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

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[184] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 281-321.

[185] Adapted from Prince, H. T., Halstead, J. F., & Hesser, L. M. (2005). *Leadership in Police Organizations™*. New York: McGraw-Hill – Primis Publications. p. 453.

of intended organizational outcomes. Communication has been described as the "thread that holds the various interpersonal parts of an organization together."[186] 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 process. 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.

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

- A receiver – either a follower, a boss, or a peer whom the source feels needs the information[187]

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.

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 tone of voice are all examples of symbols that a source uses to encode a message. For instance, the words "You messed up!"

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[186] Rogers, E.M. and R. Agarwala-Rogers, *Communications in Organizations* (The Free Press) 1976, p. 7.

[187] Gibson, J. L., Ivancevich, J. H., & Donnelly, J. H. Jr. (1973). Organizations: Structure, Processes, Behavior. Business Publications. as cited in Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 285.

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, electronic 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, 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 was 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 a 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.

The sequence as described thus far is rather simplistic: Message sent, message received, messaged acted on in some fashion that gives the original sender some indication about the accuracy with which the receiver understood what was sent. However, when you begin to thoroughly study communications, you must consider all of the ways a message can be misunderstood to get a clear picture of the complex nature of communications.

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 (or even if) 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."[188] 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

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[188] Drucker, P., *Management: Tasks, Responsibilities, Practices* (New York: Harper and Row, 1974), p. 490.

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 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.[189] 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.[190] 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 growth need 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 growth need, 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 – "Hey! That's not my job!!" 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

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[189] Faban, D., *Communications: The Transfer of Meaning* (Glencoe Press), 1968.
[190] Ivancevich, J., A. Szilagyi, Jr., M. Wallace, Jr., *Organizational Behavior and Performance* (Scott, Foresman and Company, 1977), pp. 400-401.

values (loyalty to the organization) on the part of these two followers, the communication may fail in that the message might be received differently by each follower.

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 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.

Last mood differences may also alter meaning between sender and receiver. A message from a stressed source may be perceived quite casually by an under stressed 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.

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 to assess the possibility of misunderstood or otherwise failed communications:

- 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.

Nonverbal Communications

Differences between intended and perceived meaning of a message often result from the complexity of the way a message is transmitted. 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.[191] In written communications such as this text or an email from your boss, 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 make notes or underline key ideas. In face-to-face communications, however, the actual words themselves constitute only a small portion of the total content – only 7%. 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 – 93%. 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. 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 23-1.[192]

[191] Mehrabian, A., "Communication Without Words," *Psychology Today* (Ziff-David Publishing Co., 1968), pp. 52-55.
[192] Summary from Mehrabian, *Nonverbal Communications* (Chicago: Aldine-Atherton, 1972).

Figure 23-1. Summary of Nonverbal Cues

Nonverbal Indicators

	Liking	Status	Responsiveness
Proximity Cues	• Closer proximity • Increased touching	• More distance by low status person • Greater territorial access by higher status person	
Posture Cues	• Lean forward • Open arms and body • Direct body orientation • Relaxation	• Hands on hips for higher status person • Relaxation by higher status person • Strutting, expansiveness by higher status person • Standing by higher status person	• Spontaneous gestures • Shifting posture • Proximal movement
Facial Cues	• More eye contact • Positive facial expression	• Less eye contact by higher status person	• Expressive face
Vocal Cues	• Positive vocal	• Low voice volume by lower status person	• Vocal variety
Dress Cues		• Ornamentation with status symbols by higher status person	

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.[193] 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.

THE LEADER AS A COUNSELOR

Few organizational leaders 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.

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[193] Nichols, R. and H. Stevens, "Listening to People," *Harvard Business Review*, (Sept-Oct 1957), pp. 85-92.

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.[194] 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?"[195] The more aware leaders can become of their own values, needs, and biases, the freer 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.

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.

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[194] Carkhuff, R., *Helping and Human Relations*, 2 vols (New York: Holt, Rinehart and Winston, 1969).

[195] 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.

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.[196] 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 words the person is saying and trying to understand what the person means. One aspect of active listening is paying attention or attending. Attending has been called "a kind of oil that lubricates the entire communication process."[197] 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

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[196] Ayres, D.B., *Monograph II: The Counseling Function of the Leadership Role* (Ft. Benjamin Harrison: U.S. Army Administration Center, 1978), p. 14.

[197] Egan, G., *You and Me: The Skill of Communicating and Relating to Others* (Monterey, CA: Brooks Cole Publishing Co., 1977), p.109.

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2. Maintaining eye contact

3. Verbal following.[198]

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 indicate 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.

Understanding and Accepting Feelings.

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[198] Ivey, A.E., *Microcounseling: Innovations in Interviewing Training* (Springfield, Ill.: Charles C. Thomas, 1976), p. 149.

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.[199] 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.

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[199] 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.[200] 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.[201]

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 23-2.[202] This checklist may be useful in helping the leader to make referrals.

Figure 23-2. How to Refer

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[200] Kellogg, M.S., *What To Do About Performance Appraisal?* rev. ed. (New York: AMACOM, 1975), p. 76.
[201] *Ibid.*
[202] Adapted from Brammer, *op. cit*., p. 123

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.

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 23-2: to learn the local resources that are available and what they can do.

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 a later 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 23-2).

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 have more detailed analyses of career options in all specialties. 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.[203]

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.

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."[204] 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."[205]

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 (promotions, transfers, separations); evaluating the relative

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[203] 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.

[204] Meyer, H.H., "The Annual Performance Review Discussion—Making It Constructive," *Personnel Journal*, 56, (October 1977), p.508

[205] Likert, R., "Motivational Approach to Management Development," *Harvard Business Review*, 37, (July-August 1959), p. 75.

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.

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.[206] 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.[207] 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.[208] 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.[209] 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:[210]

- Plan work and set standards.

- Observe work and collect information.

- Determine and appraise results.

- 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 days before the

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[206] 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).

[207] 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.

[208] Lonergan, G., "Performance Appraisal," in *Encyclopedia of Professional Management*, ed. Lester R. Bittel (New York: McGraw-Hill, 1978), p. 48.

[209] Meyer, et al., *op. cit*., p. 369.

[210] Brown, L., W. Haun, and A. Hybl, *Performance Appraisal: Responsibility and Opportunity* (Beverly Hills, Cal.: Roundtable Films), p. 8.

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.[211] 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.[212] 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.

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.[213] Also, it is important that 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, telling a worker that initiative is expected is of little value unless initiative is explained in behavioral terms; that

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[211] Meyer, et al., *op. cit.*, p. 369

[212] McGregor, D., *The Human Side of Enterprise* (New York: McGraw-Hill, 1960), pp. 45-57.

[213] Meyer, H.H., "Feedback that Spurs Performance," in *The Failure of Success*, ed. Alfred Marrow (New York: AMACOM, 1972), p. 213.

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.[214] 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.

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.[215] 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.

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 goals

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[214] Levinson, H., "Appraisal of What Performance?" *Harvard Business Review*, 54, (July-August 1976), p. 30.
[215] Kellogg, *op. cit*., p. 33.

and to organizational rewards.[216] 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.[217]

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.[218] 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.[219]

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 to improved performance and open communication channels or to poor morale, a decrease in performance and a lack of worker commitment to the organization.

[216] Glueck, W.F., *Personnel: A Diagnostic Approach*, rev. ed. (Dallas, TX: Business Publications, 1978), p. 269.
[217] *Ibid.*
[218] Carroll, S.J. and L. Tosi, *Organizational Behavior* (Chicago: St. Clair Press, 1975), p. 288.
[219] French, W., *The Personnel Management Process,* 3rd ed. (Boston: Houghton Mifflin, 1974), p. 381.

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 then did their leaders (in fact, only 2 out of 92 estimated their performance to be below the average rating for the group).[220] 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.[221] 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.[222]

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.[223] 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 mutual

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[220] Carroll and Tosi, *op. cit.*, p. 206.
[221] Maier, N.R.F, *Psychology in Industrial Organizations*, 4th ed. (Boston: Houghton Mifflin, 1973), p. 554.
[222] *Ibid.*
[223] *Ibid.*, p. 559.

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.[224]

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.[225] 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 follow through on the plans that are made. When disagreement is found in assessment or solution, the leader

[224] Meyer, H.H., "Feedback that Spurs Performance," in *The Failure of Success*, ed. Alfred Marow (New York: AMACOM, 1972), p. 205.
[225] 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.

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.[226]

The process described immediately above is exactly that – a description of a leader skill needed to correct deficient behavior. The actual behavior is the next step and to some it is a difficult one. For a more detailed description of the actual behaviors a leader might use to include questions and options, Ferdinand Fournies' work *Coaching for Improved Work Performance*, is an excellent step-by-step guide for this counseling approach.

Conclusion

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.

STUDENT ROLE PLAYS / PRACTICAL EXERCISE

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 below 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.

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[226] Kellog, *op. cit*., pp. 1-9.

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Editor's note: For brevity sake, only references used to create this lesson are listed here. References for footnotes in material adapted from the above sources are not repeated here as the original footnotes contain sufficient information to locate the original material.

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 29-1 through 29-44.

2. When you solve a case study or act as a leader in your organization using the material in this lesson, you must complete the following steps:

   I. *Identify* the Areas of Interest.

   II. *Analyze* the situation in terms of the Ethical Dimension of Leadership Theory.

      A. *Identify* the logical chain of events.

      B. *Identify* the guidelines for ethical behavior and determine whether they are clear or ambiguous.

  C. *Identify* the consequences (i.e., rewards and punishments) for ethical behavior and unethical behavior.

  D. *Classify* the levels of competition and stress in the organization as functional or dysfunctional.

  E. *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. Additionally, identify the root cause.

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 concepts of the Ethical Dimension of Leadership.

Think about your current work group. What is the effect of the ethical climate on the behavior and/or attitudes of organizational members? How does the ethical climate's impact on individual, group, leader, and organizational behavior and/or attitude influence the organization's ability to achieve its mission? Is there any dysfunctional stress and/or competition in your current work group and if so what is the effect on the ethical climate? What concepts of leadership can be applied to decrease the dysfunctional stress and/or competition among your work group members?

In light of your discussion above, what specific steps would you include in a leadership plan to adjust the ethical climate? Have you ever rewarded an employee's behavior specifically because it was ethical? What was the outcome and feedback after your leadership action?

<div align="center">**Or**</div>

If you are not a formal leader in you work group, are you aware of a leader who rewarded an employee's behavior specifically because it was ethical? What was the outcome and feedback after the leader's action?

Please reflect on your policing career. What leadership behaviors have you demonstrated that contributed to establishing and maintaining a good ethical climate?

AREA OVERVIEW[227]

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 however, 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.

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[227] Adapted from Los Angeles Police Department. 1998. *West Point Leadership Course – Course Guide*. Los Angeles: Authors. p. 271.

THE ETHICAL DIMENSION OF LEADERSHIP[228]

> A leader will be ineffective, and perhaps catastrophic, if he fails to practice and promote ethics.[229]

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 development as a leader and you have considered ethics as you have analyzed why events were occurring as well as during your development of leader actions. This is critical as 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 who failed the ethical evaluation and experienced disastrous results. Police leaders are no exception. Periodically, we read about unethical behavior in the media which not only corrupts the public's trust in the leader's agency, but also brings the individual leader into question. But even if a leader resists personal temptation, how does he or she affect what their employees and peers do?

This lesson will focus on how a leader establishes and maintains a working environment that encourages ethical behavior. Should there be no current ethical issues in your world, we will provide a historical example or two here or you can search the Internet for "Police Ethics Violations" where current newspaper accounts are listed.

Dealing with Unethical Behavior: An Organization's Response[230]

Los Angeles Police Department

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[228] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. pp. 415-438 and Prince, H. T., Halstead, J. F., & Hesser, L. M. (2005). *Leadership in Police Organizations™*. New York: McGraw-Hill – Primis Publications. pp. 629-682.
[229] Davis (CA) Police Department. *Strategic Plan*. Davis, CA: Authors. Accessed at http://cityofdavis.org/police/pdfs/Strategic%20Plan%202009-2011.pdf on September 8, 2011.
[230] Adapted from Los Angeles Police Department. March, 2000. *Introduction and Preface to the Executive Summary: Rampart Area Corruption Incident.* Los Angeles: Authors as cited in Prince, H. T., Halstead, J. F., & Hesser, L. M. (2005). *Leadership in Police Organizations™*. New York: McGraw-Hill – Primis Publications. p. 640-644.

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 **<u>never</u>** allow the opportunity for this to occur again.

BERNARD C. PARKS
Chief of Police
Enclosures

PREFACE
(to the Ramparts Executive Summary)

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. Stephen Vicchio, a professor of philosophy at the College of Notre Dame in Baltimore[1].

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 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

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[1] "Police Integrity, Public Service with Honor" U.S. Department of Justice, January 1997. (The complete document can be found at https://www.ncjrs.gov/pdffiles/163811.pdf or by searching the Internet for the title.)

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

Setting an Ethical Environment

Whether the incidents reported above 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 this illustrates 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.[231] 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 told the truth "so that I wouldn't get in trouble." Another person might explain telling the truth by maintaining

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[231] Hall, C.S. & Lindsey, G., *Theories of Personality*, 2d Ed. (New York: John Wiley & Sons, 1970).

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.[232] Each stage is characterized by a typical way of moral reasoning.

In stage 1, moral reasoning is very primitive and for the most part based on avoiding punishment. In the second stage, 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, 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, a person becomes more aware that while it is well to 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, 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.[233] There is also evidence to support Kohlberg's assumption of a progression of moral development with age through a fixed sequence of stages.[234]

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[232] Lawrence Kohlberg, "Moral Stages and Moralization," in *Moral Development and Behavior*, ed. Thomas Lickona. Copyright © 1976 by Holt, Rinehart and Winston, Inc.
[233] 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).
[234] 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.

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 (or Observational Learning) 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 psychologist, Albert Bandura,[235,236] 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.[237] 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

[235] Bandura, A., *Social Learning Theory* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1977).

[236] Bandura, A., *Aggression: A Social Learning Analysis* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1973).

[237] Bandura, *op. cit.*, 1977.

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 been shown to influence not only moral reasoning[238,239] but also socially acceptable behavior.[240,241] 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.[242]

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 29-1 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 29-1. Comparison of the Three Major Theories of Major Development[243]

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[238] Bandura, A. & McDonald, FJ., "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.

[239] 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.

[240] 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.

[241] Staub, E., *The Development of Prosocial Behavior in Children* (New York: General Learning Press, 1975).

[242] 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.

[243] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. p. 424.

	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.[244] 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.[245,246] 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.[247] Theorists studying leadership in police organizations have also considered the development and maintenance of ethical standards to be a key leadership dimension.[248] They have noted that the leader's ability to influence moral

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[244] Barnard, C.I., *The Functions of the Executive* {Cambridge, Mass.: Harvard University Press, 1968), p. 279.

[245] Hovland, C.D., Janis, I.J., & Kelley, H.H., *Communication and Persuasion* (New Haven, Yale University Press, 1953).

[246] Zimbardo, P.G. & Ebbeson, E.B., *Influencing Attitudes and Changing Behavior* (Reading, Mass.: Addison-Wesley, 1969).

[247] Stogdill, R.M., *Handbook of Leadership: A Survey of Theory and Research* (New York: The Free Press, 1974), pp. 52, 75, 93, 96.

[248] Clement, S.D. & Ayers, D.B., "A Matrix of Organizational Leadership Dimensions," Leadership Series, Monograph No. 8, (Indianapolis: U.S. Army Administration Center, 1976).

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.

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.[249] 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." Figure 29-2 displays the police equivalent of these oaths.

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[249] Wakin, M.M., "The Ethics of Leadership," in *War, Morality, and the Military Profession*, ed. M. Wakin (Boulder, Col.: Westview Press, 1979), p. 206.

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."[250] 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."[251]

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."[252] 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.

Figure 29-2. The Law Enforcement Code of Ethics

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[250] *Ibid.*

[251] Bolt, R., *A Man for All Seasons* (New York: Vintage Books, 1962), p.81.

[252] 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.

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[253]

As a law enforcement office, 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.*

LAW ENFORCEMENT OATH OF HONOR[254]

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.

Nonetheless, the U.S. Army study cited above attempted a definition of ethics in an organizational setting as follows:

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[253] Adapted from International Association of Chiefs of Police who adopted this code of ethics in 1956 and again in 1991 as cited in Prince, H. T., Halstead, J. F., & Hesser, L. M. (2005). *Leadership in Police Organizations™.* New York: McGraw-Hill – Primis Publications. p. 654.
[254] *Ibid..*

"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 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."[255]

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.[256] 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

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[255] *Ibid.*, pp. 16-17.
[256] Huntington, S.P, *The Soldier and the State* (New York: Vintage Books, 1957).

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."[257] From this we can see that obedience is a highly placed instrumental value for the profession as a whole and particularly for the military 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."[258]

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.[259] 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."[260] 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:

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[257] Huntington, *op. cit.*, p. 73.
[258] *Ibid.*
[259] *Ibid.*, p. 75.
[260] *Ibid.*, p. 211.

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.[261]

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 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.[262] 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 learner). 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

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[261] Bradford, Z.B., Jr., "Duty, Honor and Country vs. Moral Conviction," *Army*, 18-9, (1968), pp. 43-44.

[262] Milgram, S., "Some Conditions of Obedience and Disobedience to Authority," *Human Relations*, (1965), 18, pp. 57-75.

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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 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.[263]

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?[264] 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?

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.[265] 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.

Figure 29-3. 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

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[263] *Ibid.*, p. 74.

[264] *Ibid.*

[265] Rosenhan, D.R., cited as personal communication in Zimbardo, P., *Psychology and Life*, 10th ed. (Glenview, Ill.: Scott, Foresman & Co., 1979), p. xxxviii.

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.[266] 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?

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."[267] 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.

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

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[266] Zimbardo, P., *Psychology and Life*, l0th ed. (Glenview, Ill.: Scott, Foresman & Co., 1979), pp. 53-54.
[267] Hayes, S.H. & Thomas, W.N., *Taking Command* (Harrisburg, Pa.: Stackpole Co., 1967).

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.[268,269,270] 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.

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.

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[268] Berlew, D. E. & Hall, D. T. "The Socialization of Managers: Effects of Expectations of Performance," *Administrative Science Quarterly*, (1966-67), 11, pp. 207-223.
[269] Buchanan, B., II, "Building Organizational Commitment: The Socialization of Managers in Work Organizations," *Administrative Science Quarterly,* (1974), 19, pp. 533-546.
[270] Ways, M., "Business Faces Growing Pressures to Behave Better," *Fortune,* (1973), 89, pp. 193-195, 310-320.

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 29-4: 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 as shown in Octant 1 when:
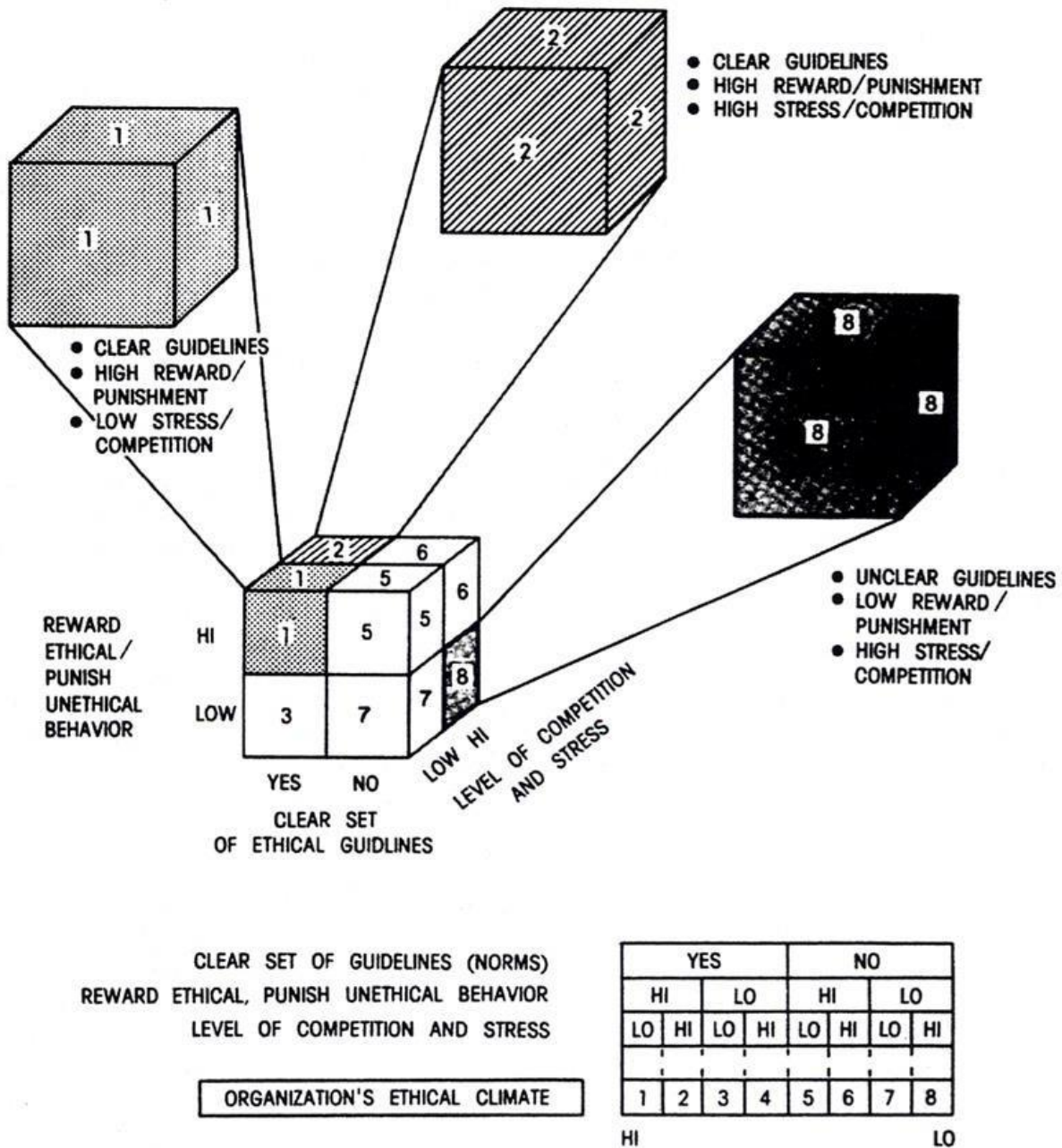
- there are clear guidelines as to what is ethical and what is unethical;

- ethical behavior is frequently, if not regularly, rewarded and unethical behavior is punished; and

- 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 as in 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 as shown in 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.[271] 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.

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[271] 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.

Figure 29-4. Assessing the Ethical Climate[272]

REWARD
ETHICAL/
PUNISH
UNETHICAL
BEHAVIOR

- CLEAR GUIDELINES
- HIGH REWARD/ PUNISHMENT
- LOW STRESS/ COMPETITION

- CLEAR GUIDELINES
- HIGH REWARD/PUNISHMENT
- HIGH STRESS/COMPETITION

- UNCLEAR GUIDELINES
- LOW REWARD/ PUNISHMENT
- HIGH STRESS/ COMPETITION

LEVEL OF COMPETITION AND STRESS

YES   NO

CLEAR SET
OF ETHICAL GUIDLINES

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	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

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[272] Adapted from Associates of the Department of Behavioral Science and Leadership. 1981. *Leadership in Organizations*. Washington DC: US Government Printing Office. pp. 434.

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.

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.

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Editor's note: For brevity sake, only references used to create this lesson are listed here. References for footnotes in material adapted from the above sources are not repeated here as the original footnotes contain sufficient information to locate the original material.