Organizational Behavior

O. Jeff Harris, PhD ● Editors
Sandra J. Hartman, PhD ●

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Case study identities and circumstances have been changed to protect confidentiality.

Cover design by Anastasia Litwak.

Dedicated to our spouses
Carolyn Harris
and
Frank Malone

ABOUT THE AUTHORS

O. Jeff Harris, PhD, is Professor of Management at the University of Louisiana at Monroe. He is the author of three books, numerous articles in professional and academic publications, and many research papers. He is an active member of several honor societies and professional organizations, including the Academy of Management and Beta Gamma Sigma. He earned his PhD at the University of Texas at Austin. In a career spanning almost forty years, he has taught at Louisiana State University, the University of Arkansas, and the University of Texas at Austin. His major research interests lie in areas of workplace diversity, leadership, motivation, and work ethics.

Sandra J. Hartman, PhD, is First NBC Distinguished Professor of Management at the University of New Orleans, where she has taught for the past twenty years. Prior to her academic career, she worked for twenty years as a practicing manager in a wide variety of positions, and she enjoys sharing her experiences with her classes. Her specialty area is organizational behavior. In addition to teaching organizational behavior at the undergraduate and graduate levels, she teaches organizational theory, organizational politics, leadership, and decision making. She is active in the Academy of Management and has served as President of the Southwest Academy of Management. She also serves on the Board of Directors for Sigma Iota Epsilon, the student affiliate of the Academy of Management, and is Chapter Advisor for Epsilon Zeta, the Chapter at the University of New Orleans. Her resume lists nearly 200 publications in a wide variety of management journals.

CONTENTS

Preface

The study of human behavior in organizations is interesting, dynamic, and challenging. New things are discovered daily about individuals and groups as they work together to accomplish personal and organizational goals.

Goals of This Book

One of the primary goals of this book is to provide prospective employees with knowledge and understanding of self and others so that they can interact successfully in the workplace. Another goal is to provide present and future managers with guidelines concerning proper management actions and techniques. An additional goal is to provide opportunities to develop better personal and managerial skills from the various techniques discussed in the book.

Chapter Structure

Each chapter begins with a list of objectives that establishes the focus of the chapter. A case is provided to stimulate thought and offer a means for illustrating ideas developed in the chapter. Key terms are defined at the end of each chapter. Every chapter has at least one Personal Feedback feature designed to provide insight and understanding about personal habits, styles, beliefs, and preferences. Toward the end of each chapter are several study-discussion questions. The questions may call for reflection on ideas in the chapter, or they may stimulate and expand thought on related issues. Also at the end of each chapter is a case that encourages the sharpening of skills and the reinforcement of ideas. Some chapters have other exercises for the reader to use in developing further skills and insights. Chapter endings also feature a glossary; at the end of the book you will find a list of references.

This book studies human behavior and is concerned with the management of people in the workplace. Chapter 1 presents a brief history of the development of management thought. As the chapter points out, several schools of thought concerned with the management of people have developed. Some of the schools of thought have made their contributions and then faded. There are two schools, however, that remain especially relevant to contemporary thinking regarding the scope and content of managerial du-

ties. One of the schools, the open system (discussed in detail in Chapter 1), is especially concerned with how the organization and the people in it relate to the environment outside the organization. The open-system concept is mentioned occasionally but is in the background, if not at the focal point, of each chapter.

The other contemporary school of thought referenced heavily in this book is the contingency-situational school. This approach is used in almost every chapter as applications of management responsibilities are identified. The contingency-situational school of thought states that there is no one best way of doing things in the management of human behavior; not any of the managerial techniques will work 100 percent of the time. Perhaps the two concepts that come closest to working 100 percent of the time are goal setting (Chapter 11) and reinforcement (Chapter 12).

Because no one best way of fulfilling managerial duties exists, an important part of managing is the diagnosing of the managerial needs of a situation and responding to it. A large part of motivation, for example, is the discovery of a worker's need to which management can appeal. Providing the appropriate kind of leadership begins with an analysis of both the needs of the employee and the needs of the organization. Selection of the proper counseling procedure is dependent upon the ability of the person being counseled to communicate, to identify his or her own problems, and to formulate alternative solutions. As these managerial responsibilities illustrate, Step 1 in almost any activity is the discernment of the needs of a specific situation.

The Book's Content

Chapter 1 begins with background information, showing how the development of management thought has progressed to its current status. It then turns to contemporary management issues—particularly to ethical behavior on the part of those who manage. Discovering what is right, what is fair, and what is socially responsible are all outstanding needs of managers. More than anything else, the study of ethical behavior in Chapter 1 is directed toward answering the question, "Where can I look for help to determine what is ethical?" Chapter 1 also talks about theft in the workplace and how to deal with it when it occurs.

Chapters 2 through 7 consider the surroundings in which people work, including factors both outside of and within organizations. The diverse mixture of managers, co-workers, and other employees; the effects of globalization; the planned and unplanned cultural components within organizations; the groupings of individuals into teams; and the physical features of the workplace (temperature, lighting, and so forth) make up the surroundings.

Chapters 8 and 9 view the individual as the basic unit of organizational behavior. Human nature; employee needs, expectations, and perceptions; along with other traits and patterns are considered.

Chapters 10 through 14 discuss managerial roles and responsibilities in the areas of leadership, motivation (and reinforcement), communication, and administering change. Chapters 15 and 16 deal with roles and responsibilities where conflict and excessive stresses are present. Chapter 17 discusses technological trends and their effects while reviewing the prospects and opportunities for the future.

Supplements

An instructor's manual includes lecture notes, teaching suggestions, and answers to the case study and end-of-chapter questions. Experimental exercises included in the text are explained with suggestions for using the exercises in the classroom.

A test bank of approximately 1,000 essay, true-false, matching, and multiple-choice test questions is included. Suggested answers to the essay questions are provided in the test bank.

Contributors

We are grateful for the support of a number of people including those at The Haworth Press (in particular, our editors David Loudon and Robert Stevens). Carolyn Harris (Jeff's wife) has worked as hard as anyone in the processes of bringing this book to completion. Carolyn has typed, reviewed, counseled, and supported us in every way possible. Without her help, the development and completion of this book would not have been possible. Colleagues both past and present also have provided invaluable support and assistance.

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Our spouses, Carolyn Harris and Frank Malone, have been constant sources of inspiration and support as have the young adult Harris children, Larkin, Stephen and Kelli, and Danielle. We thank you all.

Chapter 1

Human Behavior at Work—
With an Emphasis on Ethics

OBJECTIVES

- To recognize that the actions of individuals (specifically, those who manage) can make a difference in performance and goal achievement
- To consider some assumptions about people in the workplace
- To envision the challenges involved in being a manager
- To discover ethical and social responsibility issues that must be confronted
- To identify methods for determining appropriate ethical actions
- To question the value of social responsibility
- To consider the plans and purposes of this book
- To review the obligations employees have for honesty and integrity
- To consider managerial actions when theft by employees occurs

A CASE TO CONSIDER:
THE "BEST-SELLER"

"Now, this item's a real best-seller for us—especially with the kids from the junior high school down the block," commented Bob Greenshaw, the manager of a small, locally owned convenience store, as he oriented Kassie Grigsby, a newly hired clerk-cashier, to her duties.

"But that's cigarette paper. And you know it's used for drugs—marijuana and maybe even crack cocaine!" exclaimed Kassie. Kassie herself had reason to know. Her older brother Tom had been in and out of hospitals for years and had had several serious brushes with the law—all the result of a drug problem that had begun even before he'd entered high school. Her mother, heartbroken about the turn Tom's life had taken, had repeatedly warned Kassie about drugs. And now this! In effect, her new boss was expecting her to help supply the needs of drug users—many of them no older than Tom had been when he was first exposed to drugs. Kassie, visibly upset, looked at Bob Greenshaw and awaited an answer.

"Why the high and mighty attitude?" he responded. "Look here, we're a business, not the antidrug society or something. There's nothing illegal about selling cigarette papers. In fact, we have no right to ask our customers what they do with their purchases or to tell them how to use them, for that matter. Join the twentieth century, young lady!"

Case Questions

1. Where does a business concern's social responsibility begin and end?
2. What are the ethical issues in this case?
3. What should Kassie consider before she decides whether she will continue to work at the convenience store? Should she stay? Why or why not?

<p align="center">*   *   *</p>

As the title of this book suggests, this is a book about the behavior of people as they work together. The viewpoint is from the management perspective. Attention is focused on the attitudes, experiences, expectations, needs, problems, and changes in individuals and groups as they interact at work. Answers are sought to such questions as, "Why do people do the things they do while at work? Why do people work, anyway? What effects do groups have on individual behavior? Are managers and nonmanagers alike or different in their work motivations and responsibilities? To whom do those who manage have obligations and responsibilities? How should managers go about performing their duties effectively and efficiently? What changes and trends are occurring today within (and, to some extent, outside of) organizations that have a bearing on people at work? Why do people frequently resist change?" Perhaps answers to some of these questions are obvious, but many will require serious searching.

MANAGEMENT PERSPECTIVES

Generally speaking, early managerial concern seemed to concentrate on increasing productivity, not on taking care of people. In the early part of this century, management pioneers such as Frederick Taylor, Frank Gilbreth, and their contemporaries applied scientific methods to design jobs and work conditions for optimal productivity. Work patterns were designed for efficiency. Incentives offered to workers were primarily monetary. It was believed that every worker could be good at something; it was management's job to help each individual find the best place to work. Time and motion studies were used to arrange each job more efficiently.

Since it was felt that managers had a responsibility to provide the very best working conditions, one of the most famous research efforts ever attempted in an organizational setting was begun in the 1920s at the Western Electric plant in Hawthorne, Illinois. The study was actually begun as an attempt to find the best level of illumination for workers at workstations to achieve effectiveness (getting goals accomplished) and efficiency (using resources wisely).

In the process of researching lighting levels and other working conditions, the human side of organizations became the focus of attention. New questions were asked, and new assumptions were developed. It was felt that happy workers would be productive workers. Allowing and encouraging employees to work together in groups was considered important. Affiliation needs were felt to be a high priority. Unions gained strength as many believed employers were abusing and manipulating their employees. The Great Depression increased the desire of individuals for support from one another.

Many say that it was the Hawthorne studies that opened the door to consideration of the things people feel, need, and want from their work experiences. It was also seen as the introduction to group dynamics.

The Hawthorne studies were by no means the end of the development of management thought. When Koontz wrote his classic article published in 1961, he identified six different schools of thought; when he wrote a revisiting article in 1980, he found eleven different management approaches.[1]

Today's thinking about people in the workplace and the management of their behavior is really a blend of ideas from several approaches. To illustrate, Chapter 6 draws heavily upon the group behavior school for its content. Chapter 17 stresses as a central issue the need for technology and people compatibility. Chapters 10 through 16 are all about roles managers play. Practically every school is utilized in one way or another, even though each school may not be identified specifically. As mentioned, perhaps the two most pertinent schools of thought utilized in this book are the open-systems and the contingency-situational approaches. The open-systems approach makes its greatest contribution in the structure it provides for the book. Figure 1.1 illustrates an organization (a system), its environment, climate, subsystems, processes, activities, inputs, and outputs.

We begin by taking a look at the organizational climate and how the workplace is changing (Chapters 2 through 7). Then what the basic system of organizational activity—the individual—brings to work is discussed (Chapters 8 and 9). Chapters 10 through 16 focus on managerial activities. Many chapters talk about problems and adjustments that must be handled for a healthful workplace. Organizations want continuity and equilibrium, which is what systems want, too. Chapter 17 then talks about technology and some future trends.

FIGURE 1.1. The Systems Perspective of an Organization
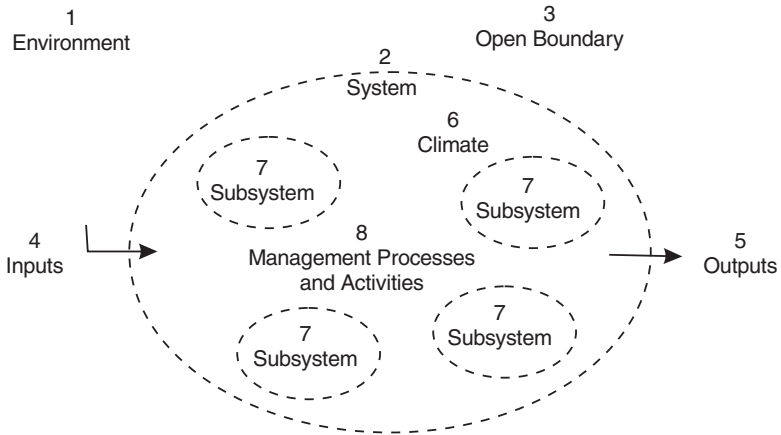
Components of the Systems View of an Organization

1. Environment	Everything that surrounds the system, including social, political, economic, legal, and technological components.
2. System	A set of subsystems, relationships, and activities separated by a boundary from components of the environment. The organization, for example, may be viewed as a system.
3. Open boundary	A wall, usually imaginary, surrounding a system which separates the contents of a system from the environment. The boundary is perforated so that inputs can be received from the environment and outputs can be issued to the environment.
4. Inputs	Items transported from the environment to the system and its parts. Resources, directives, information, and technology are examples of inputs.
5. Outputs	Items or things issued to factors in the environment by the system. Finished or semifinished products, information services, and even undesirable things, such as pollution, may be transferred outward.
6. Climate	Everything inside the system including formal, informal, physical, social, and psychological components.
7. Subsystems	The groupings of components within the system. Different people see different subsystems within systems. For example, subsystems are sometimes viewed as the different departments within an organization. Or subsystems might be the formal structure, informal relationships, etc.
8. Management processes and activities	Duties such as controlling, training, leading, motivating, and so forth, that are performed by managers in the system.

The other most influential school (the contingency-situational) provides the philosophy and the method for handling managerial roles. The contingency-situational approach teaches that there is no one best way of doing anything. There is no one best way of providing leadership. There is more than one way for providing authority relationships. There are different ways that can be useful in counseling with others. Individual employees have different needs; as a result, each requires unique attention. As Table 1.1 shows, diagnosis is a major activity in the management process.

ETHICAL ISSUES AND SOCIAL RESPONSIBILITY

Another key contemporary consideration is related to all schools of thought and to every managerial action mentioned above. That issue is, What is ethical behavior? Ethics is concerned with identifying and getting the "right" kind of behavior from people as individuals and groups.

Ethics in the Workplace

Experts predict that organizations and work relationships will change significantly in the future. One expert (Kanter) has written that there are already greater numbers and varieties of channels for taking action and influencing others than in the past. Relationships for influencing others are seen as shifting from the vertical to the horizontal—from the chain of command to peer networks. Top-down authority is becoming less important, and teamwork is taking its place. The distinction between managers and those managed is diminishing, especially in terms of information, control over assignments, and access to external relationships. This means that managers must use persuasion and participation more and commands and directions less.[2]

As a result of the many changes taking place and predicted for the future, decisions about ethical behavior and social responsibility are becoming increasingly complex. Ethics and social responsibility are interrelated though

TABLE 1.1. The Situational-Contingency Process

1.   Definition of the problem or decision needed
2.   Identification of the sources of information or input (the environment, the climate, individuals, past experiences, etc.)
3.   Gathering the pertinent available information
4.   Reviewing the information in terms of a fit with the alternatives available
5.   Selection of the alternative that best fits the situation
6.   Decision implementation
7.   Feedback and adjustments

somewhat separate concepts. We will discuss both, but let's start with the idea of ethics and ethical behavior. Ethical behavior is activity that results in the right thing being done. But what is the right thing? Sometimes it is dictated by our culture. Most of the time, though, employees of an organization must determine for themselves what is right or wrong. In our rapidly changing world, there are many situations in which no absolutely clear, indisputable course of ethical action exists.

How can we determine what the ethically correct course of action is? One way to seek the ethically correct action is to ask: Where can I look for guidelines on what's right and what's wrong? A starting point might be: What does the law say about this? Sometimes this is the only question that needs to be asked because constitutional laws, statutory laws, court decisions, and executive orders may clearly dictate what must be done. For example, discrimination on the basis of race, color, religion, sex, or national origin is prohibited by the Civil Rights Act of 1964. A review of this legislation may quickly outline an appropriate course of action. Federal, state, or local laws frequently may be used as guidelines also.

Some authors think that laws are depended upon too heavily as behavior guidelines. For example, a concept known as legal positivism (or positive law) has emerged. According to legal positivism, people have accepted the notion that if they have followed the laws that are on the books in a society, they have done all that society expects of them. When used in this manner, the laws of the nation, state, or local government become an ethical ceiling or limit.[3] Ideally, however, it seems better to look at laws as a minimal foundation—a starting place with which to identify ethical behavior. Take a look at the case used to open this chapter. Bob states that selling cigarette papers isn't illegal, citing this as a justification for his actions. How does this tie in with our discussion to this point?

Another place to look for guidance for ethical behavior is to ask, "What does my employer expect?" Sometimes instructions will be clearly spelled out by the employer and representatives of the employer. Sometimes the behavior of an employer reveals an ethical position. What a supervisor does in a decision situation will usually be used as a pattern of behavior by employees. (Look again at the case that opens this chapter. What kind of statement might Bob's actions be making? Is Kassie likely to follow Bob's lead?)

Often, employers clearly spell out their expectations through an organizational code of ethics. Codes of ethics sometimes begin with a statement of an organization's values. For example, the credo of one national bank—Security Pacific Corporation—shows the corporation's values in six areas: the corporation's commitment to customers, employees, shareholders, and the community as well as the employees' commitment to one another and to the corporation. Security Pacific's commitment to customers begins with a stated obligation to provide quality products, service, innovation, techno-

logical responsiveness, and customer satisfaction. The commitment to employees provides the environment for professional growth while encouraging individual creativity and responsibility. To the communities being served, Security Pacific pledges to strive to improve the quality of life through participation in community services. This commitment promises resource utilization and the observance of laws and regulations. Security Pacific obligates itself to its stockholders to provide consistent growth and a superior rate of return on investment, to be a leader among financial institutions, to protect stockholders' investments, and to provide full and timely information. Next, employees are asked to make commitments to one another and to Security Pacific itself.[4]

A code of ethics might also include directives for dealing with conflict of interest, confidentiality of corporate information, misappropriation of corporate assets, bribes, kickbacks, political contributions, insider trading, government contracts, testing, privacy, and industrial espionage.[5] A code might spell out penalties for violation of the guidelines. Penalties can include such actions as termination, suspension, probation, demotion, and oral reprimand.

Although not every company puts its codes of ethics into writing, it is usually advisable to do so. The need for written policy is especially urgent in companies without a strong tradition of ethical behavior to draw upon or in which a new way of thinking needs to be established.[6] Training programs on ethics, particularly for the new employees of an organization, are becoming commonplace. After employees receive written codes of ethics and hear the codes discussed and illustrated, the employees sign statements indicating they have read, have understood, and are committed to abide by the standards established.

Even when codes are carefully spelled out and communicated, interpretation and action based on the statements may vary. For example, employees in different age groups place differing priorities on abiding by the guidelines established. Older workers interpret ethics codes more stringently than do younger workers.[7] The size of the organization in which individuals work also seems to make a difference in acceptance and implementation of standards. People working in small organizations seem to be more strict in matters relating to faulty investment advice, favoritism in promotions, permitting dangerous design flaws, misleading financial reporting, misleading advertising, and defending the healthfulness of cigarette smoking. On the other hand, people working in larger organizations seem to act more demandingly on padded expense accounts, tax evasion, favoritism in bidding, insider trading, discrimination against women, and copying computer software. Individuals who are self-employed seem to hold values similar to employees in small organizations.[8]

Up to this point, we've looked for ethical behavior guidelines primarily by looking at laws and by looking at organizational codes of conduct (whether they are written, shown by example, or otherwise communicated). There are other very important sources of ethical values. Professional groups frequently have codes of conduct members are expected to follow. Rotary International, a worldwide service and civic organization, has suggested a four-way test to determine the ethical thing to do. The four questions to ask are (1) "Is it the truth?" (2) "Is it fair to all concerned?" (3) "Will it build goodwill and better friendships?" (4) "Will it be beneficial to all concerned?" Each potential decision/action can be judged using these four criteria. The more positive the answers, the more ethical an action is judged to be.[9]

Institutions such as churches and schools teach ethical guidelines. Family influences also may be strong conveyers of codes of conduct. Some feel that ethical training from family, religion, and education has less impact today than in previous years.

Two-career families, television, and the virtual disappearance of the dinner table as a forum for discussing moral issues have clearly outmoded instruction in basic principles at Mother's knee—if that fabled tutorial was ever as effective as folklore would have it. We cannot expect our battered school systems to take over the moral role of the family. Even religion is less help than it once might have been when membership in a distinct community promoted—or coerced—conventional moral behavior. Society's increasing secularization, the profusion of sects, the conservative church's divergence from new lifestyles, pervasive distrust of the religious right—all of these mean that we cannot depend on uniform religious instruction to armor business recruits against temptation.[10]

Although simple, easily applicable ethical guidance may not always be available, usually there will be guidelines from one source or another. If there are no sources to draw upon, basic questions such as "Which benefits the most people?" will need to be used.

Social Responsibility

A part of being ethical is being socially responsible. Where does social responsibility fit in? Social responsibility is the fulfillment of obligations to the society that surrounds the organization. Some have said that management is "responsible for balancing the interests of the various stakeholders of an organization—stockholders; employees; customers; suppliers; the government; local, regional, and international communities; and various interest groups." The organization's obligation is to promote the common or social good.[11]

Usually, participating in socially responsible projects is beneficial to the organization doing them as well as to the community at large. Look again at

the opening case. Is the convenience store being socially responsible? Bob points out that the sale of the cigarette papers benefits the store, but Kassie believes it won't benefit the community. Who's right? Is Bob necessarily right that the store is benefited?

Utilitarianism versus Duty

There are two views on why organizations should be socially responsible. One view is called enlightened self-interest, or utilitarianism. According to this perspective, socially responsible acts reap benefits for everyone, including the organization itself.

By providing consumers with safe products of desired quality, consumer loyalty will be generated; by providing workers with pleasant and safe working conditions, absenteeism will be reduced and productivity will be increased; by working to be a good corporate neighbor in the local community, the quality of life will be improved, making it easier to attract a high quality workforce.[12]

According to utilitarianism, the greatest good is the action in which the goals of the greatest number of people are achieved. In the opening case, could an enlightened self-interest argument be developed to support Kassie's position?

The other view of social responsibility is deontology, or the duty approach. According to this perspective, being socially responsible is the moral obligation of organizations and their members. Caring for and meeting the needs of others simply go with the territory. Check your own social concern level by taking the Personal Feedback Moral Anxiety Questionnaire.

In the future, as change continues to occur, we expect to see organizations respond. Departments or agencies within an organization may be initiated to be socially beneficial, and may include units such as the public affairs office, the affirmative action department, the consumer affairs office, and the corporate ombudsman (an advocate for employees, customers, or others who have complaints and disagreements with managers or management's positions).

It is not always easy to identify what is ethical and what is socially responsible. Preoccupation with personal gain may get in the way. It might be keeping up with competition, increasing the share of the market, or maximizing profits that overshadows social responsibility. Sometimes the feeling that bosses want results more than ethical action pressures employees toward less responsible actions. Sometimes a lack of reinforcement for doing the "right thing" discourages employees.

PERSONAL FEEDBACK
Moral Anxiety Questionnaire

Read the statements below and decide whether each is true (T) or false (F) for you. Try not to spend too long thinking about any of the statements. Mark your answer in the appropriate space for each one.

_____ 1. I sometimes worry that I may not be living up to the ethical standards I have set for myself.

_____ 2. I have a tendency to worry about not following the teachings of my religion as closely as I should.

_____ 3. I have a tendency to worry about having disappointed other people.

_____ 4. I sometimes worry that I may be receiving special privileges that are denied to others.

_____ 5. I sometimes worry about being more fortunate than someone else.

_____ 6. I have a tendency to worry that I may do things which are inconsiderate of other people's feelings.

_____ 7. I sometimes worry that I may be too selfish or self-centered.

_____ 8. I sometimes worry about not always giving my help when it's asked for.

_____ 9. I sometimes worry that I may be taking advantage of someone else.

_____ 10. I sometimes worry that I may not be very cooperative.

_____ 11. I have a tendency to worry about things I have done in the past.

_____ 12. I sometimes worry that I may not do enough for others who are less fortunate than myself.

_____ 13. I have a tendency to worry about breaking a promise to someone.

_____ 14. I sometimes worry about having hostile feelings toward someone else.

_____ 15. I sometimes worry about being too concerned with money or personal possessions.

_____   Total Score

Scoring the Questionnaire

Your score for the Moral Anxiety Questionnaire is the total number of times that you answered "true" for these statements. Place that number on the line labeled "Total Score." Your score on this questionnaire can range from 0 to 15.

It would seem that some worry about doing the morally correct things should be helpful. That is, intention to do the right thing in a situation should help facilitate actually doing the right thing. A very low score on the moral anxiety scale (a score of 4 or less) may suggest an indifference to the needs of others, a kind of egoism and independence from concern about fellow human beings. A very high level of moral anxiety, on the other hand, may suggest too much concern for morally correct behavior to the point that inability to relax and enjoy life may result. A score of 10 or above would indicate high moral anxiety. Scores from 5 to 9 suggest a reasonable balance of independent motivation and socially responsible behavior.

Source: Adapted from Lawrence R. Good and Katherine C. Good, "Moral Anxiety Questionnaire," 1976.

Not everyone agrees that an organization has much social responsibility. Some argue that:

1. Pursuing corporate social responsibility policies reduces profits, the main purpose of a business.
2. Businesses aren't equipped to handle social activities.
3. Businesses already have enough power; they shouldn't be given social power.
4. The concept of corporate social responsibility would endanger businesses' international balance of payments by placing American business in a weak position when compared to foreign competition.[13]

These views appear to be a minority position, but, as we saw in the opening case, some managers hold to them, and that can present a problem to employees like Kassie who hold a broader view of social responsibility.

A real-life example of disagreement concerning how far to go in showing social responsibility is the plight of two restaurant employees who were fired for refusing to serve alcohol to a pregnant woman. News stories had just emphasized that a pregnant woman who drinks alcohol may harm the fetus she is carrying. The two employees felt it was their social responsibility to protect the unborn fetus even if the mother disagreed.

In the future, ethical and social responsibilities will represent a major challenge to all managers and employees. Meaningful organizational direction in areas of ethics can be attained only through effort and perseverance.

EMPLOYEE DISHONESTY AND THEFT

You will recall that when Security Pacific's commitments to some of its stockholders was listed, there were some statements about the company's expectations for its employees. Employee honesty and commitments to avoid engaging in any form of theft were not mentioned specifically, but they probably should have been. Employee theft is a major problem in most organizations today regardless of the organization's size. Employee theft may take many forms—padding an expense account, pocketing money from the cash register, taking home office supplies for personal use, and removing company products for the purpose of reselling them. In recent years, time theft has also received attention.[14] Time theft occurs when an employee willfully and habitually wastes or misuses the time being paid for.

The cost of theft by employees is difficult to estimate. Literally, no one knows the amount of money, time, and merchandise that is lost, because many thefts are never discovered. Estimates range from $30 billion to as much as $200 billion. One expert has said that the cost of theft from organizations is passed along to the customers to the tune of 15 percent of the cost

of the merchandise being purchased. If employees did not steal from their employers, the cost of purchasing most goods could be reduced by a large percentage.[15]

Who Steals and Why

Many explanations have been given for why employees steal. Employees who feel that they are not being paid enough may be more prone to steal. Hard economic times may encourage theft. Weak value systems are another suggested explanation. Perceived or actual group norms may also foster theft—that is, the employee who steals usually feels that everyone engages in theft, so why shouldn't the employee do the same thing? It is said that theft is also more likely to occur when the opportunity is made available to individuals, i.e., lax controls make theft easy to accomplish. Employees may actually interpret lax control as a signal from management that theft is permissible. Employees who express a tolerance for the use for illegal drugs are higher theft risks than employees intolerant of drug use (drug abusers themselves have a high frequency of theft).

From a personality perspective, stubborn, sensation-seeking, aggressive, undependable quitters and habitual rule breakers are more likely to steal from their employer. Also, employees with few strong ties and an irresponsible outlook on life are more inclined toward theft.[16] Very often, the dishonest employee feels very little loyalty to the employer and feels little responsibility to deal fairly with bosses. Theft may even become a game among workers who contrive ways of getting things from their employer.

Management's Role in Employee Theft

Sometimes the actions of the management of the employing organization seem to encourage theft among employees. Supervisors who are dishonest themselves encourage their employees to follow in their footsteps. The design of buildings and plant facilities may contribute to the convenience and ease with which theft or other forms of dishonesty occur. Although most organizations have policies designed to severely discipline (usually to discharge) the worker caught engaging in dishonest activities, these policies are seldom applied consistently. Managers or skilled employees are often thought to be too valuable to discipline. Poor publicity growing out of the organization's admission that it has dishonest employees is another excuse given to justify lack of disciplinary action. An organization's failure to apply disciplinary actions prescribed in stated policies and regulations appears to open the door to further dishonesty.

Dealing with Employee Theft

Lie Detector Tests

For many years, the polygraph (lie detector) test was a major force in the screening of prospective employees and the investigations of existing employees. At one time during the heyday of polygraph testing, employees (and prospective ones) were tested at the rate of about two million per year. Such testing was always controversial and sometimes was declared to be highly inaccurate. On December 27, 1988, federal legislation went into effect restricting the use of polygraphs. As of that date, the use of polygraphs was outlawed for screening prospective employees in all industries except security-oriented services and pharmaceuticals.

Lie detectors can still be used in a limited way for investigation of infractions that have occurred while an individual is employed in an organization. A test can be used along with other methods to investigate possible guilt but can never be used as the sole determinant of a misdeed. For a test to be used legally, an employee must have had access to a crime and must be under reasonable suspicion. The employee must receive a written statement indicating that he or she is under suspicion; the employee should be informed of his or her rights. Before the employee is attached to the machine, the list of questions should be made available as a preparatory step. The employee can refuse to answer any questions he or she feels are too personal. In fact, the employee may terminate the polygraph activity at any point. The employee can't be asked questions related to religious, political, or sexual beliefs.[17] These changes have severely altered the methods available to organizations for evaluating present and future employees.

Honesty Tests

A fairly recent substitute for the polygraph test as a screening device is the pencil-and-paper honesty test. It is estimated that 5,000 or more organizations are already using honesty tests, which ask prospective employees to answer such questions as:

1. Should a person be fired if caught stealing five dollars?
2. Have you ever thought about taking company merchandise without actually taking any?
3. How easy would it be for a dishonest employee to steal from an employer?
4. What percentage of employee thieves are caught?
5. Do employers who pay people poorly have it coming to them when employees steal?

Through the many answers given to a battery of questions, supporters say that a profile can be obtained that reveals a probable pattern of dishonesty. Pencil-and-paper honesty tests are promoted for their ease in application and measurement, their inexpensive cost, and the fact that they have not been outlawed in any states. Detractors, of course, point out that insightful prospective employees may be able to "fake" the tests.

Promoting Positive Attitudes in Employees

Another avoidance method used after an employee is hired is the attempt to develop a positive attitude within the new worker so that he or she will want to be honest. The following are some of the techniques used in the approach:

1. The decentralization of authority or the sharing of responsibility for decision making and control has the effect of helping workers see their importance to the organization. A worker who feels that personal actions can make a difference in the success of the organization and feels that there will be adequate rewards for loyal performance usually will respond in a positive manner. In one study, it was noted that one company experienced a great deal of success when it divided workers into work teams and gave each team authority to regulate and control itself and its members. The team was held accountable for its performance and rewarded when excellence occurred. One of the by-products of this action was a marked reduction in theft. Workers felt responsible for their fellow team members and to the total organization.[18]
2. As a way of reinforcing the point, it is important for workers to be adequately rewarded for their good performance. Rewards for constructive effort create a desire to earn further rewards. At the same time, adequate compensation for performance reduces the need for stealing from the employer.
3. The example of an honest boss who does not cheat on the company is an inspiration to associates to deal honesty and fairly themselves. Employees are inclined to follow the lead of a supervisor who exhibits integrity.
4. Any other action that makes the worker feel it is important to act honestly for personal and organizational benefit will be a positive force in creating a desire to avoid engaging in theft.

Deterrents to Theft

More frequently, however, solutions that are suggested for dealing with the problem of employee theft concentrate on a negative, punitive type of

action. Rules that threaten to discharge (or otherwise penalize) a worker caught engaging in acts of theft are a deterrent to further actions if they are applied. Organizational efforts to eliminate opportunities for theft may also be effective in discouraging theft. Television monitoring devices, frequent patrols by security officers, and other techniques for watching employees reduce opportunities to steal. Requiring employees to wear standardized, no-pockets uniforms may be a viable deterrent in some manufacturing concerns. Implementing policies where all checks and expense accounts must be signed or approved by more than one individual may reduce the temptation to cheat the organization out of funds. The location of the employees' parking lot some distance from the building in a supervised area may eliminate the carrying of some merchandise away from the premises.

It should be noted that preventive measures such as television monitoring, polygraph examinations, and the use of undercover agents are not warmly received by most employees. Even the honest employees who have no intentions of stealing from their employer tend to regard the constant checking as an insult to their integrity. Work under circumstances where there is a lack of mutual confidence and trust may negatively affect morale.

SUMMARY

The basic unit of human behavior in the workplace is the individual employee. When the employee goes to work for an organization, an agreement occurs (sometimes the agreement is subconscious commitment). The employee agrees to provide certain knowledge, skills, energy, and abilities in return for salaries, wages, benefits, and other rewards. As a result of this exchange, both employee and organizational needs are met. The needs of individuals and the methods used by organizations may change some through the years, but the same general contract continues.

One of the chief organizational issues lies in the area of ethics and social responsibility. Organizations usually want to do the things that are right (or socially acceptable) in the culture in which they exist. Being ethical simply means doing what society believes is right. Sometimes, what is "right" and "wrong" is easy to determine because there are specific laws and regulations pointing the way. Most of the time, however, what is right and what is wrong requires further study. Supervisors and employees have to consider inputs from a number of sources (bosses, family members, and industry practices, to name a few) to determine what the ethical way is. Normally, an organization that develops a code of ethics will provide a meaningful source of direction for its workers.

It is normally assumed that an organization has obligations for its employees, shareholders, customers, suppliers, the government, local, regional, and international communities, and other interest groups. Social responsibility is doing the things that will benefit each of these publics to promote the common good. As mentioned earlier, opinions differ on how far social responsibilities should go.

Employees, of course, are responsible for behaving honestly and ethically for their employer. Theft by employees is a major problem in many organizations. Although control techniques such as television monitors, requiring two signatures on a check, and frequent polygraph tests serve to deter theft in the workplace, positive solutions include getting employees to feel personally responsible for the success of their work unit, their department, and the organization that employs them. The use of teams and teamwork concepts promotes positive group norms. Both delegating authority and acceptance of responsibility encourage employee interest in organizational success. Employees quickly recognize that theft hinders organizational success. Making employees feel like owners is a useful technique. Actually, many employees who exercise stock options and are the recipients of stock in their employing company are owners.

QUESTIONS TO CONSIDER

1. Why do you think many people have a low opinion of how ethical and socially responsible industries and businesses have been in the past?
2. Do you believe that people expect more social responsibility from organizations today than ever before?
3. Are there places other than those identified in this chapter to seek help in deciding ethical and social responsibilities?
4. What impact do professional codes of ethics have upon the professional for whom they are designed? Do people actually try to live by them? What about company creeds—do employees abide by them?
5. Are the institutions of the family, religion, and education ineffective in teaching ethical responsibilities today?
6. How can people be helped to feel like owners in the company? Why is this important?
7. Many organizations don't seem to discipline and punish employees who are caught stealing. Why don't organizations do more to discourage theft by employees?
8. What are some other actions organizations can take to encourage honesty and discourage theft?

CHAPTER CASE:
DECISIONS, DECISIONS

"Nobody ever told me things would be this complicated once I graduated and got out in the 'real world,'" sighed Tony Gonzales as he pondered a problem that was often on his mind. "I've never thought of myself as a real straight-laced character. Live and let live has been my motto; keep your nose clean and keep out of trouble—that's the way I've always believed in handling things. And certainly I haven't tried to play up to the boss or anything like that," thought Gonzales, continuing his interior dialogue, "but certain things get to me. What do you do in a no-win situation?"

In many ways, Gonzales's assessment that he was in a no-win situation was an accurate one. To begin with, the job was an excellent one—but only in terms of future prospects. Marschand Inc., the company Gonzales had joined after graduation, had a firm policy that everyone was to start at the bottom and work up. The philosophy at Marschand was that higher level people would be far more effective if they had spent some time "in the trenches" and knew the business from the ground floor up. Gonzales had to admit that he really agreed with the policy in most respects.

Since Gonzales's career goal was in finance, that meant starting out as a clerk in the bookkeeping department, which had several other clerks similar to Gonzales who were assigned to assist the higher-level employees—the records administrators and the senior accountants. The senior accountants especially were entrusted with a lot of authority and worked independently for the most part, with only the occasional oversight by Sharon Oldham, the department supervisor. Oldham herself seemed to be a hardworking, concerned supervisor who was simply too overloaded to give anyone in the department much close attention. Although Gonzales had talked briefly with her several times, he didn't feel he knew her well at all.

That was part of the problem—"Whom to turn to? Whom to trust?" These were the thoughts that kept running around in Gonzales's mind, because he was pretty sure he had uncovered a nasty problem. While helping John Wixmire, one of the senior accountants, he had noticed that Wixmire had seemed extremely nervous and kept trying to cover up some of the papers he was working on. It was payroll day, and Wixmire was drawing up the time sheets to pay the employees. Gonzales had been trying to ignore Wixmire's strange behavior, but as Wixmire turned in his seat to give some instructions, he swept some of the stack of payroll sheets he was working on to the floor. As Gonzales, mostly out of habit, picked up the papers, he glanced down and saw a new name—William Bennis—on the top sheet.

"No one by that name even works here," wondered Gonzales. "What's Wixmire paying him for?"

Wixmire could tell that Gonzales had seen his surprise and glared at him, "Look, kid, I'm going to give you some good advice. Just forget what you saw. I'm one of the guys who decides whether you move up or out around here." Gonzales murmured something and moved quickly away.

That was yesterday. Gonzales had tried discreetly to find out if any of the other clerks had noticed anything funny about Wixmire and his record keeping. No one had. Technically, he didn't report to Wixmire; he reported to Sharon Oldham. But he didn't know her well. What if he was wrong? He didn't know any of the other analysts or accountants any better.

"What to do? That's the question," he sighed.

Case Questions

1. What should Tony Gonzales do? Give your reasons.
2. What are the pros and cons of any decision Gonzales may make?

GLOSSARY

code of conduct: A set of guidelines specifying how the members of a unit (organization, profession) should behave.

culture: The social setting in which people live, including the values, norms, and procedures to be utilized. The culture develops over a period of time as individuals and groups interact and experience personal and social change.

deontology: The view that social responsibility is a duty or an obligation to be fulfilled.

employee theft: Any form of stealing from one's employer, by taking time, materials, or money for personal use.

enlightened self-interest: The belief that if an organization acts in a socially responsible way everyone, including the organization itself, will benefit. The greatest good for the greatest number of people will be achieved.

ethical behavior: Actions consistent with society's code of conduct. Doing what is considered morally right.

ethics: A set of values representing what a particular society believes to be right as well as what it considers to be wrong.

honesty tests: One form of evaluation that checks the level of an employee's truthfulness or proneness to being truthful.

ombudsman: An individual who listens to the needs and complaints of employees (or other groups and individuals) and represents the employees or groups to management.

polygraph test: A means for evaluating the truthfulness of an individual through the use of electronic sensory devices attached to the individual's body to measure reactions to questions.

social responsibility: The obligations a specific unit—an organization, for example—is perceived to have to act beneficially for the community at large.

Chapter 2

Diversity and Inequity
in the Workplace

OBJECTIVES

- To recognize and consider the different generations that make up the American workforce
- To identify the different goals and values existing in the workplace
- To develop an awareness of the inequities existing for minority groups in work organizations
- To become sensitive to the needs of members of minority groups at work
- To identify the inequitable treatment given to women as a minority group
- To study the stereotypes that develop about minority group members
- To discover the effects of stereotyping
- To discuss age-group minorities and their experiences
- To identify and consider the obstacles faced by minorities in the workplace
- To discuss and evaluate what is known about AIDS and what the organizational response should be to workers with AIDS
- To identify appropriate actions to provide fairness and equity in the workplace

A CASE TO CONSIDER:
ELLEN CRENSHAW—A DISSATISFIED BANKER

Ellen Crenshaw has been employed by Third State Bank since her graduation from State University five years ago. At State University, she received a degree in general business and came to work for the bank in its management-training program. The program, which lasted for one year, gave her an exposure to all phases of the bank's operation. From the training program, Crenshaw was assigned to the bookkeeping and records department as the

assistant manager. Two years ago, she was promoted to manager of the same department.

Several complaints and dissatisfactions have been building up in her mind since she completed the training program four years ago, but she has been reluctant to mention them. Her feelings have become so strong, however, that she has now sought out her supervisor, Parker Ferrell, assistant vice president for bank operations, and is telling him several things she finds disturbing about her job with the bank. The following statements are part of her conversation with Ferrell:

> I don't know about everyone's salary here at the bank, but I do know that my salary and some other women's salaries are somewhat lower than many of the men's salaries. I know for a fact that some of the male college graduates hired for the training program last month are being paid only a few dollars per month less than what I'm being paid, and I have five years of experience working with the bank. The pay scale seems to be unfair to women.

> It also seems to me that women are treated unfairly when job assignments are given out. Women always seem to get the secretarial, clerical, routine jobs, while the men get the more exciting, prestigious jobs. And it looks to me like women are being routinely diverted into staff jobs—where they are to act as "helpers"—while men are channeled into line jobs, where they have real decision-making authority. I think men believe all women enjoy routine work, but it just isn't true. Some women may, but I for one would enjoy something that challenges my abilities more fully.

> That brings me to another point. I think women are being bypassed for promotions to better jobs. I've applied for a transfer to the personal loan department and to the savings department on two different occasions, but I was turned down, and the jobs were given to men just coming out of the training program. I was given no reasons for the rejection of my requests except that I was needed in my present position.

Case Questions

1. Which of Ellen Crenshaw's complaints on the surface appear to be valid if they are true? Why? Which ones (if any) are not reasonable? Why?
2. What misconceptions does the case reveal in the attitudes many people have toward women at work?
3. If Mr. Ferrell uses the correct counseling techniques, what will his attitude and comments be during the conversation with Ellen? If these complaints accurately portray the situation in the bank, what steps should the bank take to correct the problems? Please be specific.

* * *

In some countries, the people who make up the employees in business and industry are similar in background and value system. The workers' upbringings have been similar even when their ages are different. The Japanese workforce, for example, has been considered rather homogeneous in the past. There are some indications that the trends in Japan may be changing to some degree. Perhaps in some earlier time period, there was significant homogeneity in the U.S. workplace. If that was ever the case, it is no longer true.

The American workforce is made up of people from differing backgrounds, interests, values, and work ethics. In a few paragraphs, we will turn our interest to those who make up the minorities in various organizations—women, the older, the younger, some races, and the disabled.

First, let's take a look at an interesting part of American culture: the generations who are currently a part of the labor force. Each generation has had unique experiences. These experiences and conditions have resulted in different values and expectations as the members have gone to work. Many managers have found themselves attempting to provide leadership to very dissimilar people. This circumstance can be a terrific challenge.

FOUR AMERICAN GENERATIONS

Sociologists and anthropologists have been able to divide the people who have populated the country we now know as the United States into groupings based upon similarities in experiences, family relationships, economic events and circumstances, and other influencing factors. Conclusions have been drawn about people from each generation—why they act as they do, what they believe, what is considered legitimate, and so forth. The findings of several studies have become important to students of management as we think about what individuals bring with them as they come to work.

Most analyses of today's workforce describe the components in four different generations. In reality, as we see the age groupings, we'll observe three groups who are the *primary* components. Table 2.1 reveals the four basic groupings to be: (1) the GI Generation whose individuals are now about seventy-five years of age or older, (2) the Silent or Traditional Generation whose members are about sixty to seventy-four years of age, (3) the Baby Boomers Generation whose individuals are in their late thirties to late fifties, and (4) Generation X, made up of individuals in their twenties to mid-thirties.

Table 2.2 has figures showing what percentages these groups represent in the present workplace composition. Individuals belonging to the GI Genera-

TABLE 2.1. Generations in Today's Workforce—Their Experiences, Influences, Values, and Goals

Year of Birth	Generation Name	Experiences	Media Influences	Values and Goals
1900-1924	GI	Great Depression; rural life; close-knit family; restrictive upbringing; World Wars I and II	Newspapers and eventually radio	Family relationships; respect for others; respect for authority; self-restraint; loyalty; work is seen as central to life
1925-mid-1940s	Silent or Builder	World War II and Korean War; small town; nurturance and protection	Newspapers, radio, movies, and limited television	Respect for authority; accommodation of others; "We" orientation; sentimentality; loyalty; hardworking; competence considered important; expert oriented
Mid-1940s-early 1960s	Baby Boomer	Vietnam; civil rights; sexual revolution; education	Television	Suspicion of those who are older; "Me" orientation; materialistic; pessimistic; activistic; idealistic; desire to reshape institutions
Early 1960s-early 1980s	Thirteenth, or Generation X or Baby Buster	Broken family relationships; Iran, Desert Storm; least restrictive childhood; removal of equality barriers; latch key child care	Television; Internet; videos	Lack of respect for leaders; "Us" orientation; peer oriented; physical fitness; action oriented; not interested in office politics; reactive; dislike of rules; often uncommitted; work is seen by many as a means to improve lifestyles

Sources: William Strauss and Neil Howe, *Generations* (New York: Quill Publishers, 1991); *USA Today,* July 30, 1992, 11A; and Mike Woodruff, "Kids Today," *Relationships,* January-February 1997, 14-15, were some of the sources of this material.

TABLE 2.2. Civilian Labor Force by Generation (Approximate)

Generation	Percentage of the Workforce
GI	2.3 (or less)
Silent or Builder	9.1 (or more)
Baby Boomer	47.2
Thirteenth or X	41.1 (or more)

Source: Statistical Abstract of the United States, 1997, Washington DC: U.S. Department of Commerce, Bureau of the Census, 117: 400.

tion are relatively few in number as retirement, disability, and death have taken their toll. This generation, however, was a forceful influence when it was the dominant factor. Basically, the GI Generation was a conscientious, loyal group of people who had much respect for authority. The Great Depression was a major shaping factor for people in this group.

The Baby Boomer Generation came to the workplace as missionaries of sorts; some have called this group the "me" generation. Baby boomers have been activists seeking equality in civil rights and education. A sexual revolution also has been attributed to this group. Group members have also been considered materialistic, pessimistic, and idealistic. The Vietnam War was a major influence in the lives of many baby boomers.

Generation X, also known as the Thirteenth Generation or the Baby Buster Generation, includes most of the younger people who are in the workplace through the mid-thirties age group. As the "us" generation, this group tends to be peer oriented and frequently shows a lack of respect for formal authority. Television and computers are seen as strong influencing factors. The crises in Iraq and Operation Desert Storm are recent occurrences affecting this generation. Work is often seen by members of this age group as a means to an end—a way to ensure a good lifestyle.

There's little wonder that many managers are challenged to deal with people with such diverse backgrounds and values as those in the American workplace. Each generation comes with its own set of rules, habits, and expectations. The challenge comes in trying to make all of the components of the melting pot work together. What motivates one group doesn't motivate another. What one group communicates is ignored by another. Family obligations and responsibilities may affect such issues as the willingness to work overtime or the willingness to travel. The more diversity in the composition of the workforce, the more challenged management will be.

In Chapter 11 we will take an in-depth look at feelings of equity as a major factor in achieving motivation. We will see the differences in behavior patterns if people feel equitably or inequitably treated.

Equitable treatment leads to higher levels of performance and satisfaction than does inequitable treatment. When employees perceive that their treatment is equitable, high levels of performance result. Equity goes beyond fairness in salaries, wages, or rewards and carries over to virtually every part of an individual's work life. People want to be treated at least as well as other employees are treated.

What about the other side of the coin—the inequitable situation? Although the effects of inequity are not always predictable, dissatisfaction, anxiety, insecurity, dissension, bitterness, and a lack of commitment are a few of the possible consequences where inequity is perceived. Clearly, organizations have a *big* stake in avoiding inequity.

Although most people as individuals have felt that they have received unfair treatment at one time or another, there are groups of people who in sizeable numbers have felt inequity on a large scale and have felt it regularly. These groups represent minorities in the workforce. These are distinct units with something in common who are treated differently from other groups and subgroups. We will be looking at several groups of people who are clas-

sified as minorities at work to identify how they experience discrimination (different treatment from that of majorities).

Three important minority groups are classified as such as a result of their sex, age, or race. Women are described as the minority sex; older workers are usually the minority age classification; and African Americans, Hispanics, Asians, and Native Americans, among others, are the minority races. Other groups that are gaining recognition as minorities are individuals who are disabled, including those with illnesses such as AIDS.

GENDER: WOMEN AS A MINORITY

At the current rate increase, women may soon constitute the majority rather than the minority in the workplace. In the latest statistics available, women represented 46.2 percent of the workforce, whereas in 1960, women totaled only 33.3 percent (see Table 2.3) of workers. Of the civilian population in 1990, nearly 70 percent of women between twenty-five to sixty-four years of age were employed, compared to fewer than 33 percent of working age employed in 1948. As the ratio of working women to nonworking women has increased, the problems that employed women have encountered have grown (Table 2.3).[1]

Problems of Employed Women

The problems women have faced as a minority in the workforce are numerous. Women, for example, have consistently earned less than their male counterparts. Recent figures reveal that women working full time average about 75 percent of the earnings received by men working full time. The average weekly salary of the female full-time worker is $418, compared to the male average of $557 weekly.[2] The lower salaries of women have been a concern for a long time. In one investigation (entitled "Why Do Women Earn Less?"), researchers concluded that in about one-third of the salary deficiencies, earnings are less because women have less work experience.

TABLE 2.3. Structure of the Civilian Labor Force by Sex (in Millions)

Year	Total Labor Force	Number of Men	Percentage of Men	Number of Women	Percentage of Women
1970	78.7	49.0	62.3	29.7	37.7
1980	99.3	57.2	57.6	42.1	42.4
1988	115.0	63.3	55.0	51.7	45.0
2000 (est.)	138.8	73.1	52.7	65.6	47.3

Source: Adapted from *Statistical Abstract of the United States,* 1990, Washington, DC: U.S. Department of Commerce, Bureau of the Census, 110: 380.

They also found in a few situations that men have slightly more education than women.

The investigators in the 1997 study concluded, however, that there are three major reasons that women earn less. One is that some women aspire to lower-paying jobs, perhaps because they have heavy family responsibilities and have decided to accept a lower-paying job, which provides flexibility or permits working at home. A second reason is that frequently the jobs women hold are not the ones where decisions about hiring, promoting, and paying others are made. In other words, women are often placed in staff, rather than line, jobs. Look at the complaint lodged by Ellen Crenshaw in our opening case, for example. When female employees are pushed into staff jobs, several things result. First, women are denied access to powerful, decision-making jobs and therefore get less opportunity to demonstrate their abilities. The result is that they are less likely to get promotions. Furthermore, staff jobs are almost always paid at a lower rate than line jobs at the same organizational level. Finally, the researchers concluded that outright sex discrimination is the remaining cause of lower pay for women.[3]

Another problem women encounter is that they tend to climb the organizational ladder more slowly than do men and to reach a "glass ceiling," which prevents most of them from breaking into top management. The glass ceiling is a barrier that seems to keep women from being promoted. The majority of women are in lower-level jobs.[4] Schein, in her study of why women seem less able than men to move up to middle-management positions, suggests that women face a dual problem that has its origins in stereotyping. Managerial jobs are often stereotyped as requiring "masculine" traits, such as forcefulness and decisiveness. To compound the situation, women are often stereotyped as possessing "feminine" traits, such as softness, which are believed not to be suitable for management.[5] "It's like a 'double whammy'— stereotypes get women managers both coming and going," a female manager friend of the authors ruefully concludes. As a result, both men and women in upper management positions are more likely to choose men to move into middle management. Check your attitude toward women in the Personal Feedback exercise.

Men also have tradition going for them when it comes to management positions, since in most types of management, men have been dominant through the years. Research conducted by Alexander found that women made up 26.2 percent of all managers at any level in organizations with 100 or more employees.[6] In another study, it was discovered that length of tenure (frequently considered to be unbroken affiliation periods) with an organization is a good predictor of the number of promotions an employee will receive.[7] Women tend to have breaks in their employment patterns more than men do because women usually bear more family responsibilities.

PERSONAL FEEDBACK
Attitude Toward Women in Management:
Women As Managers Scale

Using the numbers from 1 to 7 on the rating scale, mark your personal opinion about each statement in the blank that immediately precedes it. Give your personal opinion according to how much you agree or disagree with each item. Respond to all 21 items.

Rating Scale

1 = Strongly disagree   5 = Slightly agree
2 = Disagree   6 = Agree
3 = Slightly disagree   7 = Strongly agree
4 = Neither disagree nor agree

_____ 1. It is less desirable for women than men to have a job that requires responsibility.

_____ 2. Women have the objectivity required to evaluate business situations properly.

_____ 3. Challenging work is more important to men than it is to women.

_____ 4. Men and women should be given equal opportunity for participating in management training programs.

_____ 5. Women have the capability to acquire the necessary skills to be successful managers.

_____ 6. On the average, women managers are less capable of contributing to an organization's overall goals than are men managers.

_____ 7. It is not acceptable for women to assume leadership roles as often as men.

_____ 8. The business community should someday accept women in key managerial positions.

_____ 9. Society should regard work by female managers as valuable as work by male managers.

_____ 10. It is acceptable for women to compete with men for top executive positions.

_____ 11. The possibility of pregnancy does not make women less desirable employees than men.

_____ 12. Women would no more allow their emotions to influence their managerial behavior than would men.

_____ 13. Problems associated with menstruation should not make women less desirable than men as employees.

_____ 14. To be a successful executive, a woman does not have to sacrifice some of her femininity.

_____ 15. On the average, a woman who stays at home all the time with her children is a better mother than a woman who works outside the home at least half of the time.

_____ 16. Women are less capable of learning mathematical and mechanical skills than are men.

_____ 17. Women are not ambitious enough to be successful in the business world.

_____ 18. Women cannot be assertive in business situations that demand it.

_____ 19. Women possess the self-confidence required of a good leader.

_____ 20. Women are not competitive enough to be successful in the business world.

_____ 21. Women cannot be aggressive in business situations that demand it.

To determine your score on the Women as Managers Scale, add the points for the 21 items. Be sure to reverse score the answers marked with an asterisk. To reverse score, subtract the number you gave as an answer from the number eight (8). For example, if for question number 1, you slightly agreed with the statement you would enter a 5 on your answer sheet. For purposes of determining your total score, subtract the 5 from 8 to come up with 3, which is your score on that item.

*1. _____	8. _____	*15. _____
2. _____	9. _____	*16. _____
*3. _____	10. _____	*17. _____
4. _____	11. _____	*18. _____
5. _____	12. _____	19. _____
*6. _____	13. _____	*20. _____
*7. _____	14. _____	*21. _____
		Total Score _____

The range of possible scores is from 21 to 147. The higher your score, the more you look positively toward women as managers. The lower your score, the more negatively you view women in their roles as managers.

Source: L. H. Peters, J. R. Terborg, and J. Taynor, "Women as Managers Scale: A Measure of Attitudes Towards Women in Management," *Psychological Documents,* 4(27): Manuscript #585, 1974. Reprinted by permission of Select Press 415/ 924-1612.

Women seem to be relegated primarily to jobs and careers that are labeled female in category. More than one-half of employed women are in jobs that are 80 percent dominated by women.[8] Many of these jobs have been continuously staffed by women. To some extent, women are likely to continue to fill these female-categorized positions, not only because they are ascribed as feminine but also because they are forecasted for heaviest growth in the next ten years. Jobs such as cashier, nurse, waitress, nurse's aide, retail salesperson, and teacher are projected for major expansion. All of these positions traditionally are staffed predominately by women.

One of the most important factors in the work careers of most women seems to be the family responsibilities that they bear. Much of the absenteeism by women is related to family responsibilities. Interruptions in careers occur for 72 percent of the women who enter the workforce (compared to only 26 percent for men).[9] This has led some to say that the most pressing problem facing working women today is the shortage of day care for children. Adequate day care would greatly reduce absenteeism as well as increase continuity of employment.

In response to a Gallup poll, women executives said that one of their biggest disadvantages as women at work is male chauvinism. Not being taken

seriously, not being included in social conversations and activities, and being patronized, especially by older men, are seen as other disadvantages.[10]

Research also shows that some psychological disadvantages exist for many women. Apparently, these disadvantages result from early socialization. Although this is rapidly changing, many women are, in effect, taught by their parents and other significant adults during their childhood that they are supposed to be dependent and clinging. As a result, women are more likely than men to feel controlled by factors in the environment. This is called external locus of control.[11] Consequently, women are prone to downplay their own abilities and to feel like an imposter when they are successful.[12] When women do well, they may ignore the evidence of their own competence. Women are more likely to attribute success to luck and attribute failure to their own personal shortcomings.[13] Self-criticism among women is rather prevalent. Women often feel uncomfortable making demands that are in their own interests.[14] These characteristics make intrinsic satisfaction more difficult to achieve and may hinder initiative and motivation.

Another major disadvantage women experience in the workforce is stereotyping, which was mentioned earlier. Let's take a more detailed look now. It would appear that women are categorized concerning their intentions, skills, preferences, and most other areas of their lives. Some of the stereotypes may be generally valid, but most are false. As a result, women are often grouped together categorically and treated similarly, whether the treatment is appropriate or not. Stereotypes heavily influence the ways women are recruited, selected, placed, trained, rewarded, disciplined, and so forth. Let's compare truth with fiction related to some generalizations made about working women:

Fiction: Women work primarily for supplementary income or for luxuries.
Fact: Two-thirds of employed women are self-supporting, and 30 to 40 percent of the women are the sole support of other family members as well.
Fiction: Women are better rote learners and are happier doing repetitive routine duties than men are.
Fact: Women, on the average, dislike repetitive tasks just as much as men do, although they seem to have a higher tolerance for them. They do not seem to do better at rote learning.
Fiction: Women are not especially concerned about the fulfillment of achievement needs and have a lower desire for promotions than do men.
Fact: Women have achievement and promotion desires as strong as those of men.

Fiction: Women are absent from work much more frequently than men are.

Fact: Women tend to be absent about 5.9 days a year, while men are away about 5.2 days (obviously not a meaningful difference).

Fiction: Women have lower self-esteem than men do.

Fact: Women start work with self-esteem that is no different from that of men. If they develop a lower perception of themselves, it may be a result of their work experiences.

Fiction: Women are more susceptible to persuasive communication than are men.

Fact: Women and men do not differ in gullibility.

Fiction: Women are less aggressive than men are.

Fact: Women are more oriented toward the win-win style, which many predict will lead the way in the global decades. Women are less inclined toward win-lose tactics than are men.[15]

Research seems to support to some extent the generalizations that women have higher expectations of the work climate and are interested in a friendly work setting more than men tend to be.[16]

As can be seen, these generalizations do not serve to be a good description of women in many cases. Many other stereotypes are applied to women than are applied to men. Each stereotype creates problems for those who use them and for those who are on the receiving end. Most stereotypes are a disservice to women, especially hindering their progress in organizations. How? Look back to the Ellen Crenshaw case at the beginning of this chapter. Of course, all of Crenshaw's complaints may not be valid, but notice how many of the problems she mentions could have their origin in stereotypes such as those discussed here.

Advantages for Women Employees

Women have a number of areas to their advantage when compared to their male counterparts. The Gallup poll mentioned earlier discovered that women felt that they have greater visibility (they are noticed more frequently) than men do. Women surveyed felt that they have skills superior to men's in getting along with other people. They viewed themselves as being more sensitive, patient, and compassionate than they believed men to be. Women often feel that they are able to relate to the needs of other workers better as a result of their own difficulties. Women indicate that they are treated with greater courtesy than are men. Also, people tend to trust women more than they do men and as a result tend to communicate more openly with women. Many of these advantages serve women well in people-related assignments. As noted earlier, there is also evidence that, in the future, managers are going to need more and more of these people-oriented skills.

Many things are happening in business and industry today that are beneficial, especially for women. Child-care centers are opening in large numbers to help meet family needs. Flexible work hours (flexitime, for example) are being instituted to allow schedule planning around personal needs. Maternity leaves and related programs are being improved not only to provide security but also to protect career development. Workshops and other programs are being held to deal with subjects related to the stress of organizational and family responsibilities. Job sharing—where two people split a full-time job—is growing in popularity. Part-time employees (many of whom are women) are being recognized as a very valuable human resource.[17]

Dealing with the Problems Women Face

Along with the effort now being applied to overcome the inequities of women as a minority in the workforce, several other things can be done. We now know that all employees—men and women—derive great benefits from sponsorship by a mentor—someone to share past experiences, to point out pitfalls, and to help with ideas for career moves. Yet the male-dominated system in place in many organizations has hindered women from getting the mentoring they need. Some analysts also point out that as children, women had fewer experiences, such as team sports, that would lead them to recognize the need for finding a mentor. As a result, women may not search for mentors, and the organizations may be less likely to provide them. Recent evidence indicates that things are changing that could see more women getting the launch their careers require through the mentoring system. In the mentoring system, knowledgeable, more experienced managers or employees take newer, usually younger individuals under their wings and teach, challenge, and guide them toward maturity and more meaningful careers.

Programs and procedures designed to aid in the planning of a career will be especially important for women. Career planning enables each individual to develop a set of goals and then discover the step-by-step procedures needed to reach the goals. Assertiveness training can be provided to overcome reluctance to speak out. Policies toward absence and interruptions related to family responsibilities should be formulated so that they do not result in loss of seniority or in career penalties.[18]

Realistic job previews can help to make women's expectations more accurate. Also, colleges and universities need to give more descriptive information about careers and opportunities for women. The use of experiential learning and case studies will make expectations more on target. Of course, a major step forward would be the curtailing of the use of stereotypes used to categorize women. Generalization should give way to more individualistic identification and treatment of each person.

Women will benefit from the holding of more responsible job assignments—particularly line positions where hiring, recruiting, selection, placement, and salary decisions are made. Women will also benefit from the development of support networks where male and female colleagues can give psychological and social boosts. Policies providing for equity in salaries and promotions are essential.

OLDER WORKERS AS AN AGE MINORITY

In recent years there has been a great deal of discussion about the age groupings present in the workforce. For example, younger workers, especially those in the baby boom generation, have received much attention. Often, the problems faced by older workers receive less attention.

Problems of Older Workers

Older workers have received less attention than other age groups but seem to be a true minority at the workplace. What does it take to be considered an older worker? This is the group of workers who are forty to forty-five years of age and older (depending upon whose definition is used). The latest estimate available reveals that in today's workforce, the forty-five-and-above segment of workers represents about 31.6 percent of the total workforce (see Table 2.4). This group was extended some protection by the Age Discrimination Act of 1967 (amended in 1978), which states that unfair treatment of workers forty years of age and above is prohibited unless age can be established as a bona fide requirement of a job. In spite of the regulations that exist, however, this group tends to encounter problems as decisions are made about hiring, placement, rewarding, promoting, and training workers.

TABLE 2.4. Percentage Distribution of the Labor Force by Age—1960-1996

Year	16-19	20-24	25-34	35-44	45-54	55-64	65 and over
1960	7.0	9.6	20.7	23.4	21.3	13.5	4.6
1970	8.8	12.8	20.6	19.9	20.5	13.6	3.9
1980	8.8	14.9	27.3	19.1	15.8	11.2	2.9
1990	6.2	11.7	28.6	25.5	16.1	9.2	2.7
1996	5.8	10.0	25.3	27.3	19.7	9.1	2.8

Source: Statistical Abstract of the United States, 1997, Washington, DC: U.S. Department of Commerce, Bureau of the Census, 117: 400.

Stereotypes usually are persistent and can be highly damaging. Take a moment to think about how older people are categorized. What are some of the stereotypes older workers face? As with women, there are many widely held generalizations made about older workers that tend to work to their detriment. Let's discuss the validity of some of the following myths:

Fiction: Older workers are poor training and promotion risks because they have fewer years left to work for an organization than do younger workers; as a result, younger workers should be chosen.

Fact: It is true that older workers may have shorter total career spans in front of them, but they may stay with an employer longer than will younger employees. The average length of service with a single company for all employees in all industries is 3.6 years. Turnover is higher among younger workers than older workers. As a result, older workers typically show longer periods of service to a specific organization than do younger workers.

Fiction: Older workers are absent from work significantly more than are younger workers.

Fact: Usually, there is no difference in absences between older and younger workers. In fact, older workers often have much better attendance. At Hughes Tool Company in Houston, for example, the average absenteeism rate is 14 percent, while it is only 1 percent among older workers. Young workers tend to be absent more for nonhealth reasons.

Fiction: Operating costs will rise because health and retirement benefits will cost more when older workers are employed than when younger workers are present.

Fact: Overall, costs should not rise when older workers are hired. Even where costs of health coverage may rise, savings as a result of reduced turnover and training costs may more than offset increased fringe benefits.

Fiction: Older workers have more physical limitations than do younger workers. They are weaker, they hear and see less well, and they are sick more.

Fact: Although physical problems may be associated with increasing age, most of the time physical limitations can be compensated for through the use of glasses, hearing devices, and the proper design of jobs. Typically, adjustments can be made for physical limitations.

Fiction: Older workers are more resistant to change and much slower to train.

Fact: There are wide differences in the abilities of older workers, and job requirements also vary greatly. It does appear that many older workers

take longer to train and require more effort to change. Response time seems to decrease as age increases. Habits also become more established and ingrained. There are many jobs, however, that do not require abrupt change where the older workers' qualifications are quite appropriate. Some older workers are quick learners.

Fiction: Older workers have less education and less technical training.

Fact: Overall, older workers tend to have less formal education and sometimes have fallen behind in the development of technological skills. However, the high motivation and work ethic that is typical of many older workers can easily compensate in most jobs.

Fiction: Older workers are more conservative and cautious than are other workers and therefore should not be assigned to risk-involved jobs.

Fact: Older workers probably are more cautious in their decisions and actions. Although these conservative responses may not be suited for some types of work, these traits are highly desirable for other jobs. Where safety and caution are desirable, slower, more deliberate actions are suitable.

As shown in the discussion about women as a minority, older workers encounter problems on the job as a result of the generalizations made about them. Many of the stereotypes are untrue as a category, and others are true of only a few members of the group. Many of the supposed shortcomings of older workers can be overcome. In reality, many older workers are in good health, are open to change, are trainable, and are willing to take reasonable risks. In fact, what may appear to be limitations are often assets. Older workers tend to have many strengths. They typically have more experience than younger workers do. They know their way around organizations. They have realistic expectations of jobs as a result of their past experiences. Often they are easier to satisfy than are younger employees. They tend to respond to intrinsic reward opportunities more than do younger workers. They usually stay with their employer longer, and their absenteeism is often lower.

Dealing with the Problems of Older Workers

Employers obviously need to be aware of the legislation protecting older workers so that legislative requirements are met insofar as recruiting, selection, placement, dismissal, and retirement are concerned. (Of course, this is true of other minorities as well.) True characteristics of older workers need to be recognized. It would be preferable to discard the generalizations and begin to assess workers as individuals. The strengths that older workers bring to the organization need recognition. Support and understanding may be required in some areas, but benefits for the extra effort will usually be forthcoming in increased loyalty and reduced absenteeism and turnover.

Here's an example that illustrates the situation vividly. Mary Johnson was a manager in charge of a telephone company operation services unit in a large Northeastern city. Being a telephone operator involves working flexible shifts, including evening and night work. It has traditionally appealed to younger workers. For example, it is popular with students who can work evenings and go to school during the day. As you might expect, Mary was surprised to meet the new operator trainee who reported for work one day. The trainee, Olivia Wright, was nearly sixty.

"I think I retired too early," Olivia confided. "I was a teacher for over thirty years, and I felt that I really wasn't up to being on my feet all day any longer. But I can tell you this—I'm certainly *not* up to staying home and watching the soaps any longer. I'm used to a busy life and I'm not going to become a vegetable now."

"Well," Mary laughed, "this may be just the thing for you!"

It turned out that it *was.* The physical demands of the operator's job were much less than the teaching job, and Olivia's pleasant personal style made her a fine operator. Olivia quickly became a confidante to many of the younger women—caring, providing a listening ear, and serving as a source of practical advice on how to manage a home and career. Furthermore, her savvy in dealing with the stresses of organizational life and her ability to tackle difficult human relations problems—all fine-tuned from her years of teaching experience—made her a valuable role model.

How about her ability to learn the work?

"Well," remarked Mary, "she honestly had no real trouble. All those years of teaching had kept her alert, and even more important, her willingness to work and her persistence got her through the rough spots during the training—for example, dealing with a computer, which she'd never done before. Overall, my impression is this—if Olivia's an older worker, I'll take a hundred more just like her!"

Not every older worker is a success story, of course, but many are or can be. As this example illustrates, worker attitude, management attitude, and job match are essential elements.

YOUNGER EMPLOYEES— THEIR STRENGTHS AND WEAKNESSES

Even though younger employees are not considered to be a minority, a brief word about some of their qualities and concerns seems appropriate. Younger employees are seen as the antithesis of older workers in most respects. The young are seen as creative, idealistic, energetic, open to change, needs oriented, quick to learn, and more likely to take risks. Although these generalizations are not descriptive of all younger employees, the description often holds. Organizational expenditures made on the younger worker usu-

ally seem appropriate since a long future lies ahead for the average young employee. Barriers to hiring, training, and promotion seem relatively small for younger employees.

The typical complaints of younger workers lie in the areas of responsibility and opportunity. New employees, especially those with a college education, frequently complain that their jobs are those in which little significance is attached to what they do. Important assignments are reserved for older workers. Immediate opportunities to climb the organizational ladder are often seen as limited, although long-range prospects may be good. In the first two years after graduation, more than half of all college graduates will switch to other organizations, giving responsibility and opportunity as their primary motivations for making a move.

Young employees need a better understanding of the responsibilities and opportunities before them. Management, for example, needs to carefully outline for new employees the company's promotion opportunities and career ladders. Usually, younger employees will also benefit from many of the suggestions identified earlier as helpful to women: organizational commitment to mentoring, better career planning, more realistic job previews, and the use of more experiential training techniques. Inequalities in wages and other benefits need reviewing also.

Younger workers tend to have many good things working for them. Overall, they are better educated formally and technically than their older counterparts. They are more mobile and more frequently open to change. The strengths young workers bring to the workplace need encouraging and nurturing.[19]

MINORITIES BASED UPON RACE

The two largest racial minorities in the U.S. workforce are African Americans and Hispanics. Of the latest assessment of the total civilian workforce of more than 141,016,000 in 1996, about 80.2 percent were white, 10.7 percent were African American, and 9.0 percent were Hispanics.[20]

Normally, the race to which an individual belongs does a number of things to and for the individual. Race usually contributes to the culture in which an individual lives. One's race usually determines the language the individual speaks. Race has much to do with influencing the religious affiliations and involvements of the individual. Race normally creates a set of behaviors that serve to differentiate one race from the others. People of similar racial backgrounds usually have stronger mutual affiliation and support relationships. Race provides not only a culture but also a set of traditions for its members. Race tends to unify group feelings of solidarity and uniqueness within its membership.[21]

Organizational Problems Faced by Racial Minorities

Of all the races employed, African Americans, Hispanics, and, to some extent, Asians, are currently receiving the most active attention by management in organizations. Organizations are becoming more active in their work with these groups for several reasons. African Americans and Hispanics (good statistics are not available on Asians) tend to have less formal education than whites. In the latest figures on the civilian labor force, 43.2 percent of whites have a high school diploma or less, while 51.4 percent of African Americans and 67.4 percent of Hispanics have less than a high school diploma. At the other end of the educational spectrum, 29.3 percent of whites, 17.4 percent of African Americans, and 11.3 percent of Hispanics have at least a bachelor's degree from a college or university.[22]

The level of education attained is important in a number of ways. One of the most affected areas of employees' lives is the ratio of unemployment to number of years of schooling. In 1997, for example, the average unemployment rate was about 4.4 percent. Unemployment of white men and women was about 3.9 percent. The unemployment percentage of college graduates was only 2.0 percent, while the unemployment rate of workers with less than a high school diploma was 10.4 percent. Since many African Americans and Hispanics were in the lesser educated ranks, they suffered the greatest amounts of unemployment. African-American unemployment was 9.5 percent.[23]

In 1996, the median income for white households was $35,766, while income for African-American households was $22,393, and Hispanic households earned $22,869. African-American and Hispanic workers had high percentages (more than 30 percent) of their workers earning in the lowest 20 percent of all wages. Lower educational rates would seem to be a contributing factor.[24]

The lower education rates serve to limit opportunities for many individuals and may be related to the lack of skill development. A look at where African Americans and Hispanics are employed is revealing. African American workers, as Table 2.5 shows, represent 10.1 percent of the total labor force. They are underrepresented in the fields that require the most education and pay the highest wages. African Americans have only 6.1 percent of managerial and professional jobs, 7.5 percent of the precision-production-craft positions, and 9.1 percent of the technical, sales, administration- support jobs. On the other hand, African Americans are overrepresented in service jobs (17.6 percent) and operator-fabricator-laborer positions (15 percent). A disturbing trend for African Americans in particular is that many, if not most, workers are employed in the same occupational level in which their parents have been employed. There seems to be little, if any, upward movement for many African-American workers. In fact, some concern has been shown that African Americans are experiencing downward mobility, where

TABLE 2.5. Percentage of African Americans and Hispanics Employed in the Different Worker Classifications

Worker Classification	African American	Hispanic
Total part of the workforce	10.1	7.2
Managerial and professional	6.1	3.7
Technical, sales, and administrative support	9.1	5.8
Service	17.6	10.2
Precision production and crafts	7.5	8.2
Operators, fabricators, and laborers	15.0	11.1
Farming, forestry, and fishing	6.6	13.0

Source: Statistical Abstract of the United States, 1990, Washington, DC: U.S. Department of Commerce, Bureau of the Census, 110: 389-391.

they are being employed in even lower-paying, less-skilled jobs than their parents were.

Hispanics experience much the same situation. Hispanics make up about 7.2 percent of the labor force. In management and professional jobs, Hispanics represent 3.7 percent of the total. In technical, sales, and administration support, Hispanics make up only 5.8 percent. In service jobs, Hispanics make up 10.2 percent; in precision production and crafts, Hispanics are 8.2 percent; and in operators, fabricators, and laborers, Hispanics are 11.1 percent of the total. In farming, forestry, and fishing work, Hispanics have 13 percent of the jobs.

The statistics on Hispanics are particularly important since some estimate that the Hispanic segment of the total population and the workforce will experience the largest growth in the immediate future. Naisbitt, for example, feels that Hispanics will soon be the majority minority. In California and throughout the Southwest, Naisbitt believes the 2000 census will show that 50 percent or more of the population will be Hispanic. If the trend is realized, Hispanics will have a bigger impact in the workplace.[25]

Organizations need to be aware of a serious consequence of lack of mobility, i.e., lack of trust in the system. One Hispanic high school student we spoke with put it this way:

> You're talking to me about a *career?* Well, I'll tell you that you're crazy. What I'll have is a *job*—and a "go nowhere" job at that. There's no way I can break into the system. Look, I'm no fool, and I keep my eyes open. Everybody I know is going into a dead-end job, and I'll get one, too. What do big corporations care about people like me?

In far too many cases, these kinds of comments are not the exception. And what is the result? Young people who believe as this student does are less likely to expect and plan for productive, long-term careers, and they are less likely to continue their educations. Deep-seated beliefs are *very* difficult to change. The point is this: perceived lack of opportunities for promotion and growth has serious consequences. Where upward mobility seems to be the exception rather than the rule, the result is often a psychological adjustment that lowers expectations.

Other racial minorities make up part of the American workforce as well. Workers from Asian countries, for example, have made significant entries into the workforce. These minorities face some of the same problems that African Americans and Hispanics do. Language problems often are severe; some of the same cultural stumbling blocks must be overcome.

We haven't even touched on ethnic groups. Although groups such as Jews and Armenians have achieved much success in the United States, they may still face some of the organizational problems we have discussed, and many are concerned about losing their heritage. Perceptions are an important part of this. It does not matter whether the perceptions are true or false or how they came about. Perceptions can have a major impact on career planning. Perceptions will be discussed in detail in Chapter 8. It would be nice to say that there is an easy solution to these problems, but there is not. Much hard work by schools, organizations, and community groups will be needed in the future.

WHAT CAN BE DONE?

The Civil Rights Act of 1964 (as amended) was designed to initiate changes, particularly to eliminate hiring, selection, placement, training, and compensation problems experienced by minorities. Subsequent legislation and court decisions have further added to the protection and pursuit of equity in the workplace. But it is obvious that this is only a starting point. Much more remains to be done, and, as we have mentioned previously, the situation is so complex that easy solutions simply do not exist. Although we can't pretend to have either a magic wand or a crystal ball, we would like to provide at least a sketch of our vision for the future. First, it is clear that minorities' perceptions that "the system" is set up so that they cannot succeed is in itself a major contributing factor to the problems minorities face. And, as we have said so often, perceptions are *very* difficult to change.

What can organizations do? An obvious starting point is to take a critical look inward. Policies and past practices need a thorough and diligent review to erase every trace of discrimination. Management's actions must support

its commitment to a truly open workplace. Beyond this, though, positive, proactive steps are needed to get the message out.

Following are a few examples. Management can send representatives to talk to minority community and civic groups. Even more important are schools. Hosting "career opportunities" days—perhaps involving several organizations—could encourage minority students. To all groups, the message must be that there *are* career opportunities available. Management should show high school students not intending to go to college what jobs are good entry-level positions and what these students can do to advance from those jobs. Organizations should also consider tuition reimbursement programs for employees seeking college training. Work-study programs have been impressive. In one such program, students attend college for several semesters, take a semester off and work for an organization (gaining valuable experience as well as meeting financial needs), and then repeat the cycle until graduation.

Another innovative idea is the "shadow program" in which students are offered the opportunity to spend a day "shadowing" a business leader to gain a realistic preview of both the excitement and the demands of managerial jobs. University educators are excited about such programs, but they do not want the program coverage to be limited to higher education. The logical next step is to get programs operating in high schools so that younger students can learn of the opportunities and challenges before they terminate their education. The preview provided by a shadow program may keep some students in school.

Another alternative is the internship program that many universities have begun, in which a student (usually an upperclassman) receives college credit for working in an organization. Each student is placed in a meaningful job (usually a sort of management training position) in a carefully selected organization. A professor or internship program administrator and a representative of the employer oversee and supervise the work of the student on the job. The internship job is not to be a clerical or operative position but should be a position of responsibility in which real decisions must be made. This provides not only skill development but also insight into the opportunities, responsibilities, and challenges of a career in a particular field. Employer and faculty liaisons are responsible for the development of the student.

What does all of this mean? We think, in the final analysis, that the key ingredient must be *commitment* by organizations, by professional groups, by minority organizations, and by schools.

WORKERS WITH DISABILITIES

Another segment of the workforce that will require increasing attention in the new millennium includes workers with disabilities. This segment is

expected to assume particular importance as shortages of workers in earlier time periods lead employers to look to disabled workers (many of whom prefer to be called disabled rather than handicapped) as a new pool of prospective employees. The entry of this group of workers into the workplace in large numbers will create challenges for managers, many of whom have never been involved with disabled workers.[26]

We need to look back at the Civil Rights Act of 1964 (as amended) for a definition of handicapped: a person is considered handicapped who suffers from a mental or physical limitation or is *believed* to suffer from such a limitation. The element of *belief* is important because it protects workers such as those who have had cancer and have received successful treatment but are *still believed* to be ill by employers and other employees.[27] As we will see, it also may have implications for AIDS patients. Note, too, that both mental and physical limitations are included in the definition. Mental disabilities may include retardation, specific learning disabilities, and psychological problems. Physical handicaps may involve locomotion difficulties, blindness, deafness, and specialized problems such as epilepsy.[28] More recently, the passage in 1990 of the Americans with Disabilities Act has underscored these definitions and has added enforcement measures to support the rules.

A common thread that runs through any consideration of disabled status is the requirement for the employer to make reasonable effort to accommodate the needs of the worker. Most of us are familiar with ramps that permit access to buildings for people in wheelchairs, for example. Other less obvious adjustments may also be involved. Lloyd Henry (not his real name), a friend of the authors', is a disabled worker employed by a large governmental agency. Lloyd's disability is physical. When he was only eleven years old, Lloyd began having dizzy spells and double vision. The diagnosis was a fast-growing but benign brain tumor. An operation successfully removed the tumor but left Lloyd with severe reading and speaking problems.

"It's like a blockage," Lloyd explains. "I may know *exactly* what I want to say, but I just can't get the words out. Worse yet, I'll see a word or words on a page, and I can't think what they mean—and I mean simple, everyday words like *bat* and *book.* As a result, both speaking and reading are slow processes for me."

What Lloyd doesn't tell you is that he is a person of outstanding courage and persistence. He graduated from college. "Let me tell you, that was *tough,*" he reports. "Because of my reading problems, it seemed like I took three times longer than anyone else to study and prepare for class. It took a lot of hours, but I stuck with it—math classes were no trouble, because the blockage doesn't affect numbers, surprisingly enough. But English! My teachers were wonderful. The only way I got through was by either taking a lot of extra time on the exams or by dictating answers. Anyhow, I made it."

After graduation, the agency Lloyd works for hired him as an analyst, and the agency and Lloyd cooperated to work around his problems. Much of Lloyd's work is mathematical, and Lloyd is a whiz at that. But what about the reading demands of the job?

"There are ways around that too," Lloyd responds. "Believe it or not, large print helps; so I often use the blowup feature on our copy machine to enlarge pages I know I need to study carefully. Or I'll get a clerk to read a section to me. And, of course, I take a lot of work home. But the important thing is that I'm *here* and making a contribution."

Lloyd's boss agrees. "He's an inspiration," the boss tells us. "Lloyd's been here for nearly ten years and has an outstanding work record. I don't think of it in terms of *making accommodations.* As Lloyd's boss, I think that I'm his partner in seeing that he has what he needs to get the job done. After all, as a manager, that's a key responsibility of mine toward all of my employees—not just Lloyd."

It's attitudes like this that can make managers partners in success with other employees who are like Lloyd.

The Americans with Disabilities Act of 1990

Legislation continues to provide a better set of conditions and opportunities for disabled individuals. The Americans with Disabilities Act of 1990 regulates employers in many ways. Employers may not discriminate against a disabled person qualified for a job either in hiring or firing. Employers may not inquire whether a prospective employee has a disability, but the employer may ask about ability to perform a job. An employer may not limit advancement opportunities or job classifications based upon disability. Tests or job requirements that tend to screen out the disabled may not be used. Employers may not enter into contractual agreements that discriminate against the disabled. Employers also may not deny opportunities to anyone in a relationship with a disabled person.

Employers are directed to provide reasonable accommodations to the disabled, including making existing facilities accessible, providing special equipment and training, arranging part-time modified work schedules, and providing readers for the blind. Employers are not, however, required to provide accommodations that impose an undue hardship on business operations.

EMPLOYEES WITH AIDS

The issue of AIDS in the workplace has recently become one of vital concern. What are the responsibilities of an organization toward an employee with AIDS? And what are the responsibilities toward other employees who are the co-workers of the person with AIDS?

AIDS stands for *acquired immune deficiency syndrome,* a technical term for the condition caused by a devastating virus that attacks the immune system. HIV infection leaves the person vulnerable to a host of opportunistic diseases that would normally be combated by the immune system. Although progress is being made toward a cure, AIDS must presently be considered fatal. According to the surgeon general of the United States, between 1.5 and 2 million people are carrying the AIDS (HIV) virus. Information released by the U.S. Department of Health and Human Services states that about 40,000 HIV infections occur annually in the United States.[29] Consequently, considerable fear surrounds HIV/AIDS. In fact, when an organization learns that an employee has AIDS, fear on the part of other employees is the biggest concern that must be faced. Newspapers contain frequent stories about parents' protesting when a child with AIDS is sent to attend school among the general population, for example.[30]

What about the workplace? The fears center on whether AIDS can be transmitted by casual contact of the type to be expected in a school or work setting. Generally, experts agree that the dangers are minimal, although—primarily to guard against fears by the public—there is some agreement that AIDS patients should not handle food or work in a hospital setting. Fear remains, especially on the part of other employees. Some answers—such as a reliable cure—may be years away.

In light of this, what should organizations and managers do? A good starting place is the development of a statement of organizational policy concerning AIDS. In general, most policy statements need to include the overall philosophy of the organization toward AIDS and those who have AIDS; a statement of commitment to both the virus carrier and healthy employees; a statement of medical, disability, and life insurance; a statement concerning hiring practices and continued employment; a description of what the organization will do to educate all employees and their families; a statement of support programs available, including individual and family counseling; and a statement affixing responsibilities for establishing, maintaining, and monitoring all AIDS programs.[31]

Most agree that openness and information are two crucial factors in dealing with AIDS. If an employee is hospitalized and an employer learns that it is due to AIDS, the employer needs to do several things. First, the employee with AIDS needs to be considered. Does that individual want to return to work? If so, how would the employee—and the employee's doctors—prefer to deal with the situation? Management should be especially concerned about the grapevine. In many cases, it would be preferable to meet with the other employees prior to the HIV/AIDS patient's return to work. Getting the facts out on the table and planning together to make any needed accommodations are important. In most cases, an employee's co-workers are con-

cerned and anxious to be of support and help so long as factual information is supplied in advance of the rumor mill.

STEPS TOWARD EQUITY

Let's think now of ways organizations can creatively overcome all of the problems of inequitable treatment of minorities, whomever they may be. While promoting the passage of more legislation may be appropriate, many things can be done *within* each organization.

As is true of almost any effort at improvement, each organization must have a purpose to bring about improvement and to shape its goals in the desired direction. This means that to achieve equitable treatment for minorities, specific goals need to be declared. A good beginning for an organization is the clear delineation of equity goals—equity in pay, promotions, benefits, supervisory treatment, and so forth. These goals need to be spelled out to focus the direction of the organization's energies. It is important that goals for equitable treatment have the support of upper management levels. Without top-level backing, goals are meaningless.

Specific individuals or groups need to be assigned the responsibility of seeing that the policies and provisions of the organization are designed for equity. Unless specific people are made accountable for the development and implementation of fair treatment, no one will feel personally obligated to see that improvements are made. To be effective, these individuals or groups need to be delegated the authority to initiate change. Designated individuals will be responsible for seeing that things such as day-care centers, job sharing, skill training, and career planning are made available where needed.

Evaluation procedures and standards must be designed to periodically check the success of the efforts to bring about equity. Jobs of equal skill requirements should be compared for equity in salaries and other treatment of employees. The ratios of promotions, hiring, training, and so forth need to be checked to see if one or more of the sexes, ages, or races is being favored at the expense of others. Identified inequalities will call for revisions of practices and procedures. A part of this evaluation process should be the receiving and analyzing of complaints of inequality from employees, but the evaluation must also initiate investigations and seek data without waiting for complaints to be submitted. In other words, it must be proactive, not reactive.

Establishing support systems to help minority members of an organization is essential. Many of the successes at overcoming inequitable treatment seem to be linked to all of the things discussed earlier and center on the organization's commitment to the development of active systems and programs

for ensuring that minorities perceive that the organization is on their side. Important components include community involvement, shadow programs, mentoring, and the like.

A very important step for reducing inequity is to abandon the use of stereotypes and sweeping generalizations since many stereotypes are based upon mistakes and half-truths. A wise action here is to begin the treatment of personnel by taking each one separately—looking at individual, unique traits, needs, and abilities. Recognition of the individuality will improve the understanding of others and will result in a better response to them.

The use of stereotypes can lead to the wrong people being placed in positions of responsibility while they lack qualifications or withhold the positions from where they really do have the qualifications. Stereotypes can also cause some individuals to be left out of communication networks or otherwise left out of the information loop.[32]

To avoid or overcome the effects of stereotypes, it is important that accurate information is distributed to more people to permit equitable treatment of employees. Both formal and informal networks need to be given correct data. Written communication should be provided to individuals, since written statements are less easily subject to misinterpretation. Putting messages in written form also helps avoid having important ideas overlooked. Accurate message interpretation can also be aided by giving message senders training in how to estimate the emotional reactions receivers will have to messages they are given. It is also important that the messages are sent by credible individuals.

Where there is a lack of coordination between groups, team-building exercises and the development of better interpersonal and intergroup communication are vital. The use of conflict resolution techniques, such as those mentioned in Chapter 15 (especially the team, win/win type techniques), may be needed where minorities are at odds with one another or with majorities. Activities that promote the development of good communication between individuals and groups tend to bring people to confront, not overlook, issues.

Also important in establishing equitable opportunities is the better preparation and orientation of prospective employees. The formal educational program needs to equip individuals with adequate technical, interpersonal, and analytical skills for future careers. The education process is probably the best place to begin dealing with career-planning concepts, skills, and beliefs about organizations. Realistic job previews will also improve people's perceptions of job and career requirements.

SUMMARY

The American workforce—and just about every other group of workers in the world—is becoming more diverse. With diversity comes many good

things, but also with diversity comes an even bigger challenge for those who manage. We've had an opportunity to see the diversity of backgrounds and experiences American employees take with them as they go to work. We have also seen some of the problems faced by minorities.

Most organizations have minorities in them. Minorities may be based on gender, age, race, disability, or illness. Minority members are often disadvantaged whether the discrimination is related to salaries, training and promotion opportunities, acceptance into social groups, or in some other area. The treatment given to many minority groups is often based upon myth, misunderstanding, stereotyping, or fear.

The problems caused by discriminating attitudes and behaviors will not go away without confrontation. Most informal programs are insufficient and ineffective. Individuals and groups must be officially appointed and held accountable for equity in treatment.

With a concerted effort, it is possible to remove many of the inequities. Some inequities based upon traditional cultural beliefs will be slower to rectify than others will, but modification is possible in most situations. It is the responsibility of managers—and every employee—to be a positive force for change.

QUESTIONS TO CONSIDER

1. What problems do managers encounter when they have employees from two or more generations working with them?
2. Consider someone you know who fits into each of the four generations that were discussed. Does this person's behavior seem consistent with those described in the early part of the chapter and in Table 2.1? Explain.
3. What stereotypes other than those mentioned in the chapter have you heard about women, men, older workers, younger workers, whites, African Americans, and Hispanics? Is each of the stereotypes an accurate or inaccurate representation of the persons being described?
4. How do stereotypes of individuals and groups get started?
5. How can untrue stereotypes be dealt with so that they become powerless?
6. In what ways, other than those mentioned in the chapter, can minorities be treated more equitably? What can be done to make treatment of minorities fairer?
7. Place yourself in the shoes of someone who is in a minority position in a work organization (other than those where you are presently a mi-

        nority). How is your perspective changed as you empathize with those people who are in this minority?

8. Is there any justification for paying less money to workers performing the same job where there are differences in age, sex, or race? Discuss.

9. Do most majorities work to sustain their power at the expense of minorities? Is it common for majorities to guard and jealously apply the powers they possess?

10. What has the rationale been behind paying women less than men for doing the same job? Theoretically speaking, what rationalizing has been done to support the idea that men are entitled to more money than are women? What's wrong with this general concept?

11. What advice would you give to women, older workers, African Americans, and other minorities in the workforce?

12. What ethical considerations are involved in the management of minority groups and individuals?

CHAPTER CASE:
A NEW BREED OF NURSE

"Please don't think I'm crazy," Joe Robles said to his guidance counselor as they looked out the window onto the campus of the small state school that he attended. Joe was midway through his second year, and so far things were looking good for him, both academically and in terms of his outside activities. Not only had he participated in several sports, but he'd also played a lead in the recent campus play. He was paying his tuition through his grass-cutting and yard maintenance service.

"Overall, a most impressive young man," thought Marisa Dennehy, the counselor.

"Why should I think you're crazy?" Marisa inquired.

"Well," said Joe, "I know I certainly don't fit the traditional mold, but I've discovered I have a very strong interest in nursing."

"Don't you mean medical school?" queried Marisa. "I'm sure you'd make a fine doctor."

"That's exactly what *everybody* says," moaned Joe. "But I mean just what I said. I want to be a nurse, not a doctor. I guess I haven't told you this, but both my uncle and my sister have had serious illnesses; so I've spent a lot of time in hospitals this past couple of years. And I've talked to both doctors and nurses about what they do. The doctor's job strikes me as too mechanical. You diagnose and prescribe, and that's it. It's the nurses who have the ongoing, hands-on patient care—and that's what I'm really interested in. I know it's not traditional, but why shouldn't I shoot for a career that I really want?"

Case Questions

1. Suppose you were in Marisa Dennehy's position and were asked to counsel Joe. What recommendations would you make, and why?
2. What problems could Joe encounter if he does decide on a career in nursing? What could he do to overcome them?

GLOSSARY

Baby Boomer Generation: Individuals born following World War II on into the mid 1960s. This group is sometimes called the "me" generation.

discrimination: Treating or giving attention to one person or group differently from other individuals or groups. Discrimination frequently is seen as giving attention to others in an unfavorable or unfair way.

equity: Fair treatment by managers and supervisory personnel. Equity includes fairness in wages, rewards, discipline, and any other type of attention given to workers.

Generation X: The youngest group of significant number in today's work force. Members were born between the early 1960s and the early 1980s. Computers, television, and videos have been strong influences in the lives of these individuals.

GI Generation: Individuals born between 1900 through 1924. Not too many individuals in this age group are still active members of the workforce.

minority: Any segment of the workforce that makes up less than one-half of the total population in the work environment or has less power than another group. The majority is usually considered to be dominant, while the minority is thought of as subservient. In this chapter, women, older workers, African Americans, Hispanics, disabled people, and people with AIDS are viewed as minorities.

realistic job preview: Accurate representations of both the good points and the negative features of a job given to a prospective employee. Weaknesses are shown graphically so that the prospective employee's perceptions of what to expect are not more positive than they should be.

Silent (or Builder) Generation: Individuals born between 1925 through the mid 1940s. This group is seen as rather flexible and adaptive.

stereotyping: Applying a generalization to all persons who are considered to be in a single category. Stereotypes in this chapter refer in particular to generalizations made about sex, age, and race.

Chapter 3

Globalization and Its Effects

OBJECTIVES

- To view patterns of movement in multinational activity
- To review the reasons for organizations to participate in the global economy
- To consider how national cultures differ in values, expectations, and behavior patterns
- To consider the performance of management's role in multinational operations
- To become aware of the problems in dealing with differing cultures
- To learn how to adjust to the cultural differences involved in international management
- To discover ways to improve communication in multinational organizations

A CASE TO CONSIDER:
I NEED ADVICE!

Mary Staples is a young American visiting Austria for the first time. During her travels, she spends several days in Innsbruck, in Southwestern Austria, where she has distant relatives. Through her relatives, she meets Ulrich, a young banker from that area. Mary, too, works for a bank back in the United States, and their conversation quickly turns to their jobs.

It turns out that Ulrich is a manager in a large Austrian bank. The bank has grown rapidly over the past few years and currently has offices in every large Austrian city.

"Just for starters, that presents all sorts of problems," Ulrich laments. When asked why, he explains that beneath its serene appearance, Austria is a sharply divided country with a number of differing groups in its different regions.

"You know, of course, that the people in the Tyrol (a mountainous area in Western Austria) consider anyone else a foreigner," Ulrich explains. "But are you aware that the situation is at least as bad in the other regions? The

Austrians of Italian origin who live in the Sudtyrol are forever trying to set up their own state. The lowlanders around Vienna look down on everyone else as a bunch of hicks. The people around Salzburg believe that they're the only cultured Austrians.

"I could go on and on, but it's a mess. As a result, a large bank that is national in scope meets with suspicion—and radically different local conditions—everywhere we operate. Worse yet, the government has all sorts of stringent regulations on banks, and those regulations often conflict with what the people in any particular area actually want. And speaking of regulations, there are also severe restrictions on what you can do in terms of personnel actions. The government makes it virtually impossible to fire anyone. And the labor unions—they're a major force all through Eastern Austria. The result is that we're paying steep wages in all of our regions, and in many locations, our payroll expenses are much higher than our local competition. Overall, we're under severe attack by local banks in over half of our areas. And the future—I shudder to think of the future." Ulrich moans dramatically.

When Mary asks what the problem is with the future, Ulrich reminds her that Austria has just joined the European Economic Community (often referred to as the Common Market in the United States). Doing this, he explains, means that trade barriers will disappear entirely.

"People from other countries can come to Austria to work at will, and Austrians can go elsewhere. If we get French and Italians in—and I'm sure we will—labor unrest will go way up in Western Austria—the only place it's relatively calm now," he adds.

"But worse yet, think of the impact on prices, culture, competition, and who knows what else. Austria has traditionally used trade barriers to keep lower-priced foreign competition out and to let Austrian-owned businesses flourish—and banks such as mine are no exception. Now we'll have a flood of competitors entering who can offer much more attractive prices and services than we can. I expect an enormous influx of foreigners and foreign business—and what will that do to our traditional Austrian cultures?"

"The immediate future really does sound pretty threatening, " Mary remarks. "But is there any long-range hope?"

"Well," Ulrich responds, "the only thing I can think to do is reorganize in some way to permit us to respond quickly to the pressures that I can see coming in the future. Furthermore, I'm convinced that the bank must assume an aggressive stance and face the competitors head on by going international. There's a lot of bank instability in both Southern France and Northern Italy, so I believe that there are opportunities in those places. In addition, the regime in Bulgaria has approached us as well, though I have no idea how we could set up anything with them. You Americans are creative thinkers," Ulrich concludes. "What should we do? Give me some advice."

Case Questions

1. Why does Ulrich feel that having to deal with several different cultural groups makes his job more complicated?
2. What problems with communication would you expect Ulrich to face?
3. What additional problems do you foresee for Ulrich?

Let's consider these questions about the globalization trends existing in the world today:

- Is there any one country that has all of the resources it needs to sustain itself without the help of others?
- Does any single nation have all of the technological knowledge and skill it needs to survive and prosper?
- In what countries is there a positive balance of trade? How many of these countries would be totally secure without relationships with other countries?
- Which countries' products could be of value to people living and working in other countries?
- Are attractive labor resources equally distributed between all of the nations?
- Do the people in most countries of the world have quick, accurate methods of communication with people in other parts of the world?
- Is there any country that is free of wars, famines, and other disasters?

* * *

A MANAGERIAL CHALLENGE— THE MULTINATIONAL MOVEMENT

Just about everyone agrees that globalization is the wave of the present and the future. More and more firms are increasing their scope of activities to reach out to other nations. Many nations, such as Japan, are already a force along with the United States. From a management perspective, the intertwining of cultures has major repercussions because every culture has different norms and expectations. If we do not take culture into consideration, leader-follower relations, productivity, and a number of additional elements will not function well.

If there is any doubt about why we as managers or future managers should study globalization, consider some arguments persuading us to learn about multinational movements.

1. When we are in touch with other cultures and other parts of the world, we want to be successful. The odds are almost 100 percent in favor of

failure if we stumble into world trade without planning and preparation.

2. As we interact with people and organizations beyond our own country's borders, we want to act constructively. In truth, some might argue that this is an irrelevant value judgment. In some companies, there may be little concern about being constructive in the eyes of others, but most would argue that it is socially responsible to build rather than tear down.

3. We don't want to be an embarrassment and disgrace to ourselves, the organizations we represent, and the country where we have citizenship. We preserve our self-esteem by conducting ourselves and our businesses appropriately. American citizens, and perhaps those from other countries as well, may need to be especially concerned about public image. For many years, individuals and organizations from the United States symbolized that which was exploitative and self-serving. To some extent, that impression may still exist.

4. We want to establish good relationships. The expense and the logistical problems associated with multinational commerce call for long-term commitments. Connections that endure usually are founded upon cooperation and mutual benefit.

5. There is a need to expand horizons. Frequently, organizations recognize their limitations in markets, supply sources, and financial reserves, just to name a few, and it becomes necessary to broaden the scope of operations. There are very few organizations that have not already reached this crossroad.

6. There is a desire to have a *fair chance* at being a successful enterprise. A fair opportunity requires that those being impacted by events—particularly those where change is required—be open to the new situation. For openness to take place, there must be trust and understanding between the parties involved. Again, relationships need to be strong and familiarity with cultures, economic conditions, and operating conditions (to name a few) is helpful.

Consider the cultures of nations and what is determined by them. A nation's culture defines the operating environment managers will face in establishing direction for their organizations. In the past, understanding other cultures wasn't a problem. Firms in the United States, for example, were managed by U.S. citizens. That may be less and less true in the future as citizens of other countries come to the United States as managers and as U.S. citizens find themselves relocating to other countries to manage firms there. Managing in an international setting means that the manager must become adept at responding to subtle points in a different culture. Culture, for example, establishes the work ethic employees bring with them to their jobs. This

work ethic determines what employees expect from their jobs and what kind of effort they are willing to give. The culture establishes the level of respect employees have for the authority of their supervisors at work. The kind of authority they respect is also determined by the culture.

CULTURAL VALUES

Managers must learn a number of things about the society and culture of the country or countries where they may work. A good starting place in the analysis of a particular country or region and its culture is to identify the value systems of the people in the area. A major researcher in multinational matters, Geert Hofstede, suggests that the cultural analysis should begin with a look at some specific dimensions (dimensions that have shown very different priorities between compared countries). These dimensions include attitudes of culture related to individualism-collectivism, power distance, uncertainty avoidance, and masculinity-femininity.[1]

The basic questions on the individualism-collectivism dimension are: Do the people define themselves as individuals or as members of a group? Do people look after themselves and their family primarily, or do they concern themselves with groups and teams? Individualistic people are only loosely tied to other individuals. They care more about themselves and their immediate family and do not concern themselves much with others. Where the collectivism attitude prevails, individuals concern themselves strongly with the groups or social units to which they belong.

In his research, Hofstede determined that people from the United States, Australia, and Great Britain are very individualistic in their thinking, while people from Colombia, Venezuela, and Pakistan are very collectivistic in their thinking. People from other cultures seem to fall in between these two extremes on the individualism-collectivism scale. In our opening case, Ulrich, the Austrian manager, points out that he faces a special challenge as a result of the distinct cultures found in Austria. What differences would you expect to find in terms of individualism-collectivism between the "Italian-oriented" Austrians in the South and those in the rest of the country?

A second value explored—power distance—is defined as the extent to which less powerful members of an organization accept the unequal distribution of power, i.e., how much do employees accept the fact that their boss has more authority than they do? Employees who do what the boss says because he or she is considered to have superior authority would be high power-distance people. Hofstede concluded that the Philippines, Venezuela, and Mexico are among the high power-distance nations, while Austria, Israel, and Denmark are among the lowest in power distance. The United States rates toward the middle of the power-distance distribution. In our

opening case, what differences would you expect to see in the power distance values between Mary and Ulrich?

A third value—uncertainty avoidance—describes how the people in a specific society react to ambiguous situations. Those who feel very threatened tend to establish formal rules, seek stability in their careers, and reject deviant ideas. Study results show Greece, Portugal, Japan, and Belgium to be nations where ambiguity is considered very threatening. Singapore, Hong Kong, and Denmark are the least concerned about avoidance of uncertainty. The United States tends to be somewhat low in concern for uncertain and ambiguous situations.

The fourth value—masculinity-femininity—describes masculinity as the emphasis in society on assertiveness and the acquisition of money and material things. Femininity is seen as the emphasis on relationships among people, concern for others, and concern for the overall quality of life. Japan, Australia, and Venezuela seem to be the most masculine in orientation, while Sweden, Norway, and Denmark rate highest in femininity. The United States was rated as somewhat more masculine than feminine.[2] Looking again at our case, should Ulrich expect the Southern (Italian) Austrians to be more masculine or more feminine than the others?

In addition to those cultural dimensions, some others need attention. Time orientation is one of the more pronounced factors differentiating cultures. There are two sides to the time orientation component. One side of time orientation relates to the importance of promptness in personal habits. At issue, for example, might be the arrival time expected in keeping appointments. In the American culture, promptness is considered to be important. If two people agree to meet at 2:00 p.m., they really mean to be there at 2:00 p.m. or before. In some cultures, however, a 2:00 p.m. appointment means come in the afternoon or be there within an hour or two after the time quoted. Another example might be an employee agreeing to have a report on the boss's desk by 9:00 a.m. In a promptness-oriented culture, this would mean having the report there not later than 9:00 a.m. In other cultures, such an agreement might imply having the report in by some time during that specific day.

The other side of the time dimension involves the length of time for which plans and provisions are made. In some cultures, the most important consideration is given to long-range planning, training, and procurement. In many Asian countries, day-to-day matters are expected to take care of themselves while long-term plans and goals are given emphasis. At the opposite extreme is day-to-day living and planning. In this type of culture, thinking and planning do not go beyond what is to happen this day, this week, or this month.[3]

The achievement-versus-leisure orientation dimension pits the accomplishment of organizational goals and tasks against keeping people happy

and making the workplace a harmonious set of relationships. In the achievement-oriented culture, the volume of output or productivity is the valued statistic. "How many units did we produce today?" or "Did we ship the order we had promised on time?" would be the type of concerns individuals in an achievement-oriented culture would pursue. The leisure-oriented culture instead would ask questions such as "Did you enjoy what you were doing?" or "Is everyone comfortable in the group with which you work?" The two factors don't have to be opposites, but frequently they are.

The formality-versus-informality cultural dimension describes the different emphases cultures may have when it comes to the observance of tradition, ceremony, and social rules. In some cultures, that which has been done historically would be the way things are to be done presently. Tradition is observed to a high degree. There are ceremonies to be followed in carrying out most activities. The British, for example, are usually labeled as high in formality. "The King calls you. You don't call the King." "You don't speak until you're spoken to." "You don't belong to the club until you've paid your initiation dues," etc. In organizational settings, these could be translated as, "You don't go to the office of the boss until you're called," "Don't volunteer information until it is sought," and "Seniority is the way to gain respect in this organization."

With informality, there are few rules. There is no particular protocol to be adhered to—"Communicate directly to anyone you wish." "Challenge the boss whenever you need to." "Make up processes and procedures as you go along." These statements are indicative of cultures in which each situation is handled as it presents itself—and what happened previously is given little consideration.

The degree of initiative employees show toward the accomplishment of their employing organization's goal is another factor that seems culturally influenced. Initiative can be thought of as action taken without being urged to do so. Initiative is self-starting and proactive in nature. In the ideal organizational setting, employees act responsibly, without prompting, in pursuing organizational goals and standards.

In a timely study shortly after East Germany and West Germany reunited, it was discovered that in the forty years or so following the separation, two very distinct cultures had emerged. One culture had been nurtured in socialism while the other had progressed in capitalism. It was found that the East Germans (under socialism) had become very dependent and showed low levels of self-confidence, self-control, and initiative, while those from West Germany (capitalists) were proactive. The West Germans sought solutions to problems on their own and did more of their own planning and controlling, while the East Germans sat waiting to be told what to do next.[4]

Other cultural factors to consider might involve personal space (how much distance physically and psychologically individuals in a culture prefer

to keep between themselves and others), the value of material possessions, family roles and relationships, religious beliefs, and personal needs versus organizational needs.

SOCIETAL PROCEDURES AND METHODS

Most cultures develop their own operational procedures or modes of operation that reflect their values. For example, each culture has its own negotiating style (method for making decisions). Negotiating is one of the most important international activities; multinational managers spend more than 50 percent of their time negotiating. Table 3.1 shows that cultures differ in how emotions are to be handled, whether decisions are to be made by individuals or groups, what the major decision criteria will be, and how much and what kind of documentation should occur.

As is shown in Table 3.1, the North American negotiating method includes straightforward, impersonal discussion; analysis on a cost/benefit basis; argumentation when differences of opinion are discovered; and careful documentation of available evidence.[5] In contrast, Japanese negotiating is highly sensitive, with strong loyalty shown for the employer. Face saving is important so that those involved will be spared embarrassment. Special interests are considered, and the group good is the priority. Think again about the opening case. Ulrich believes that there may be some opportunities in Southern France, Northern Italy, and Bulgaria. What differences would you expect he will face when he begins to negotiate in those three areas?

When persuasion is needed, there are culturally based ways of doing it. The North American approach is to use facts and to appeal to the logic of the decision participants. Objectivity is important. Small concessions may be made early to help establish a working relationship. Pressure is applied to make timely decisions. Deadlines for reaching an agreement are highly important. By comparison, the persuasion style of Arabs appeals to emotions and uses subjective feelings. Concessions are made throughout bargaining, and concessions made by an opponent are usually reciprocated. Deadlines are not of major concern. Russian persuasion techniques call for appeals to be made on the basis of what is ideal. Concessions are seen as a weakness and are seldom made nor reciprocated. Deadlines are not considered to be particularly important.[6]

Many additional procedures and behavioral patterns need to be learned as well. Managers in different cultures need to learn when to conduct business (during business hours? in the evenings? on holidays? on Sunday?). Should business relationships be formal or informal? (The American approach is to be informal, with first names being used quickly, while the French rarely use first names, even after long relationships.) Should eye contact be maintained or avoided? (The American procedure accepts eye contact as a sign of hon-

TABLE 3.1. Negotiation Styles from a Cross-Cultural Perspective

Japanese	North American	Latin American
Emotional sensitivity highly valued	Emotional sensitivity not highly valued	Emotional sensitivity valued
Hiding of emotions	Dealing straightforwardly or impersonally	Emotionally passionate
Subtle power plays; conciliation	Litigation; not as much conciliation	Great power plays; use of weakness
Loyalty to employer; employer taking care of employees	Lack of commitment to employer; breaking of ties by either if necessary	Loyalty to employer (who is often family)
Group decision making by consensus	Teamwork provides input to a decision maker	Decisions come down from one individual
Face-saving crucial decisions often made; basis of saving someone from embarrassment	Decisions made on a cost-benefit basis; face saving does not always matter	Face saving crucial in decision making to preserve honor, dignity
Decision makers openly influenced by special interests	Decision makers influenced by special interests but often not considered ethical	Execution of special interests of decision maker expected, condoned
Not argumentative; quiet when right	Argumentative when right or wrong, but impersonal	Argumentative when right or wrong; passionate
What is down in writing must be accurate, valid	Great importance given to documentation as evidential proof	Impatient with documentation, seen as obstacle to understanding general principles
Step-by-step approach to decision making	Methodically organized decision making	Impulsive, spontaneous decision making
Good of group is the ultimate aim	Profit motive or good of individual ultimate aim	What is good for group is good for the individual
Cultivate a good emotional social setting for decision making; get to know decision makers	Decision making impersonal; avoid involvements, conflict of interest	Personalism necessary for good decision making

Source: Pierre Casee, *Training for the Multicultural Manager: A Practical and Cross-Cultural Approach to the Management of People* (Washington, DC: Society for Intercultural Education, Training, and Research, 1982), SIETAR International, 733 15th St. NW, Suite 900, Washington, DC, 20005.

esty, courage, and determination, while the Japanese consider eye contact to be impolite.) How should affirmation or agreement and acceptance be communicated? (In Malaya, a sharp, forward thrust of the head indicates agreement; in Ethiopia, it's a backward movement of the head; in Borneo, a raised eyebrow says yes.)[7]

Take a few minutes to give yourself the Personal Feedback test on multinational values and behavior. Chances are that you will find that there are things you will need to know if you become involved in international business.

PERSONAL FEEDBACK
Test of Knowledge About Values and Behavior Patterns
in a Country Other Than Your Home Country

Think of a nation other than your home nation (e.g., the United States) you think you know the most about. Now answer these questions to see how well prepared you are to go to work in this country. If you don't have a country in mind, think of one of the neighbors to the United States—either Mexico or Canada. Which of these questions can you answer accurately relating to the people and the culture there?

1. What languages are the predominant languages?

2. Is there a dominant religion? If so, what is it? Are other religions openly permitted?

3. If you have an appointment with an administrator in a business organization, should you be early or should you come at a time later than the one scheduled?

4. Should you look a person in the eye as you talk to him or her or should you keep your eyes lowered?

5. Can bosses hire their relatives to work for them in publicly and privately owned businesses?

6. Do friends greet each other with handshakes, kisses, hugs, or something else?

7. Do employees change jobs and employers frequently?

8. How strong are international, national, and local unions in this country?

9. Is the offering of bribes an acceptable action in the workplace in this country?

10. What form of government exists in this nation?

11. What is the most important source of information to the general population in this country?

12. Other than the United States, who are the major customers and suppliers to this country?

13. Can bosses be socially close to their employees or must they keep their distance?

14. In the conversations of bosses and employees is it acceptable for employees to ask questions demanding highly specific answers?

15. Are male and female employees treated alike or differently?

16. What holidays are celebrated in this country to the point that most businesses close in their honor?

17. What is the monetary medium of exchange? At what ratio is the medium of exchange traded with U.S. dollars?

18. Are outsiders welcomed openly?

19. Is public transportation readily available? Is transportation inexpensive?

20. Is it acceptable to praise deserving employees publicly?

How well did you do? Chances are you knew some of the answers if you were applying them to a country that neighbors your own. Now try to answer the questions about a specific European or African country. How well would you do? In truth, most of us have much to learn about the cultures and processes in countries other than our own.

This test is designed to be thought provoking and insightful. The test instrument itself is nonvalidated.

Managing in the multinational arena provides a good argument for the use of contingency-situational practices. American techniques and theories (which work in the United States) frequently are inappropriate for use in other cultures.

International managers must decide whether to use autocratic or democratic styles of leadership, individual- or group-oriented motivational schemes, and long-term or short-term criteria for decision making. Their decisions, to be most effective and most appropriate, must depend on the particular industry, organization, individual, and/or culture involved. Far from being useless, theoretical models guide the questions we ask. Only observation and analysis of the particular culture and situation involved can guide our answers.[8]

Through observation, studying the experiences of others, and feedback from those who have worked previously in another culture, a general set of behavioral guidelines can be developed. Wall, for example, in his study of Chinese cultural values and norms, found that friendships are an important component of doing business there. Friendships can be used to promote cooperation. The authority hierarchy is another important element. If lower-level individuals don't provide satisfaction, Wall suggests going up the ladder to the top when necessary. Managers seem to be more effective when they impart messages coming from high up in the organization. Negotiation with Chinese employees works best if general rather than specific things are covered first. Commitments should be made cautiously and in general terms, also.[9]

Moffatt suggests that Americans working with Japanese companies should not do the following:

1. Assume that all Japanese companies are alike.
2. Expect to become a star; instead, think consensus.
3. Look for large numbers of pats on the back; external encouragement is infrequent.
4. Think that pay will be based upon merit.
5. Expect to rise to the top of Japanese organizations. The Japanese are not ready for foreigners to head their organizations.

On the other hand, Americans should:

1. Be ready to deal with a certain level of vagueness.
2. Be willing to work long hours.
3. Expect slow progress in moving upward in an organization.
4. Accept the Japanese process rather than fight it.
5. Expect many activities to be performed in groups and teams.[10]

Just as American workers must learn about the cultures they may be moving into, so must managers from other countries learn about American

values and ways of doing things when they come to the United States. Getting the right fit between managers and workers from different cultures is sometimes difficult. Probably the largest number of owners and managers in the United States who are from other cultures are the Japanese. An increasing number of organizations are being founded or purchased by companies from Japan. Acceptance of some Japanese-originated ideas, such as quality circles, is being achieved, but there are many cultural differences. As an organization member of the future, you obviously need to keep your multicultural skills sharp.

MULTINATIONAL LANGUAGE AND COMMUNICATION

In Chapter 13 we will talk about communication in detail. We will discuss learning about the needs of the receiver, selecting the right communication medium, and we will see some of the problems involved in the communication process. All of these problems and factors exist in multinational communication, and there are many additional items involved as well.

Even if the communication takes place in a common language such as English, the language is subject to cultural interpretation. In the short run, it may be possible to have an interpreter to help with the language as well as with cultural awareness and understanding. Interpreters could be inadequate in many ways, and they would be impractical in the long run. Knowing the rules, meanings, media, and symbols of the multicultural situation is invaluable. Suppose you received the following message from one of your co-workers. Would you have problems understanding the message?

Dear Kim:

Because of the on-again/off-again haggling with one of our subcontractors, we have been putting off getting in touch with you. Frankly, we were turned off by their shoddy merchandise, the excuses they made up, and the way they put down some of our customers. Since we have our good name to keep up, we have decided to touch base with you and see if you would be interested in bidding on the contract for spare parts.

If you are interested in playing ball with us, please give it your best shot and fire off your choice price list ASAP.

Sincerely,

Pat

Since American English is a language you speak, you probably would have no trouble with it. But if you speak the English of the United Kingdom or some other principality, you might not comprehend all of the important nuances included in the message. If English is not your primary language, you might have even more problems with the proper interpretation. Several factors make American English unique for others to interpret. American English is difficult because it uses numerous multiphrase combinations, slang expressions, acronyms, and idioms.[11]

Multiphrase Combinations

One of the most routine problems for the non-American is the usage of multiphrase combinations of words that could, in most cases, be replaced by one word. Americans commonly use the phrase "put off" instead of "delay" or "keep up" instead of "maintain" (see Table 3.2). The problem with these multiphrase combinations lies both in their informality and in the difficulty of developing an accurate interpretation by the individual receiving the communication who isn't familiar with American English. Although the international individual could locate all of the words in a dictionary, the sender's intended meaning might not be accurately interpreted. As a matter of fact, some Americans might even be baffled by some of the commonly used multiphrase terms.

Slang

Every cultural and social group generates its own personalized vocabulary of slang words and phrases. Common and frequent usage of slang may cause people to become insensitive to its incorrectness. Although some

TABLE 3.2. Multiphrase Combinations and Interpretations

Multiphrase Combination	Meaning(s) of Interpretation
Die down	Diminish
Let down	Disappoint
Narrow down	Eliminate, reduce
Carry out	Complete, transport
Rule out	Eliminate
Fall through	Discontinue, cease
Pan out	Develop
Work out	Develop

Source: Rose Knotts, "If You Understand American English You Can Learn International English," *Proceedings, Association of Business Communicators,* 1990. Used by permission.

slang words are "universally" accepted—such as *OK*—slang is inappropriate in international communication because of the strong probability that it will be misinterpreted. An amusing incident was related about a provincial businessman who ended his letter asking for an order: "The ball is now in your court." The Chinese vendor replied by ending his letter, "Sir, the ball is back on your knee!" It appeared that the Chinese gentleman understood roughly what the American meant but did not know the appropriate slang reply. Common slang words and phrases are illustrated in Table 3.3.

Acronyms

Numerous acronyms have also gained popularity in the business world and media over the past few years. While many Americans could quote the meaning of ASAP, LBO, PDQ, LCD, etc., these acronyms could be confusing in international communication. If an acronym is used, its meaning should be designated. Some common acronyms are shown in Table 3.4.

TABLE 3.3. Illustration of Slang Words/Phrases and Interpretations

Slang Word/Phrase	Interpretation
Get a pink slip	Fired, terminated
Big time	Massive
Touch base with	Contact
Arena	Business place, marketplace
Play it by ear	Remain flexible
Play ball	Cooperate

Source: Rose Knotts, "If You Understand American English You Can Learn International English," *Proceedings, Association of Business Communicators,* 1990. Used by permission.

TABLE 3.4. Acronyms and Interpretations

Acronyms	Meanings
ASAP	As soon as possible
LBO	Leveraged buyout
MIS	Management information system
PDQ	Pretty darn quick
LCD	Light conducting diode

Source: Rose Knotts, "If You Understand American English You Can Learn International English," *Proceedings, Association of Business Communicators,* 1990. Used by permission.

Idioms

An idiom is the usual way in which words of a language are joined to express understanding or an accepted phrase or expression having a meaning separate from the literal. For example, Americans use the phrase to "move up the organizational ladder" to mean career promotions in rank; they refer to a fashionably dressed but incompetent executive as an "empty suit." Usage of idioms with international employees may prove to be confusing and threatening. At best, these types of phrases should be avoided—at the least, they should be kept to a minimum. Table 3.5 outlines some common idioms used among various American cultures.

A more satisfactory version of the letter from Pat to Kim might read something like this:

> Dear Kim:
>
> Because of sporadic negotiations with one of our subcontractors, we delayed getting in contact with you. Finally we were discouraged by their defective merchandise, the excuses they fabricated, and the way they humiliated some of our customers. Since we have our reputation to maintain, we have decided to contact you and see if you would be interested in bidding on the contract for spare parts.
>
> If you are interested in negotiating with us, please send us your choice price list as soon as possible.
>
> Sincerely,
>
> Pat

The problems and challenges we have seen with multinational management are formidable, but in our mobile, dynamic world, global interaction appears to be the future. Most problems are not insurmountable, and dividends appear to be great.

TABLE 3.5. Idioms and Interpretations

Idiom	Interpretation
Empty suit	Stylishly dressed but incompetent executive
Move up the corporate ladder	Career progression
Airhead; lightweight	Person possessing little substance
Raw meat	Devastated

Source: Rose Knotts, "If You Understand American English You Can Learn International English," *Proceedings, Association of Business Communicators,* 1990. Used by permission.

SUMMARY

The single most talked about future concern probably is the multinational movement. More Americans are being assigned abroad, while more international businesspersons are being sent to the United States. More organizations are exchanging business as well as people. The cultures of the countries involved are different, just as the cultures within the organizations are different. Different cultures mean different values. Different cultures have varying methods of operation. Languages and communication are different. All of these require different managerial actions and responses.

QUESTIONS TO CONSIDER

1. How should an organization go about deciding when to enter into multinational economic activities?
2. How would you describe your home country in terms of the cultural factors mentioned—power distance, uncertainty avoidance, and so forth?
3. Compare the work ethic (attitude toward work) of two countries you know something about. How are they alike? How are they different?
4. Is the United States really more masculine than feminine? Explain.
5. Would you consider U.S. culture to be more formal or more informal? Why?
6. How would you treat people if they affirm themselves to be individualists? Collectivists?
7. How does the negotiating style used in a country affect the ways its managers would handle conflict?
8. What advice would you give to a company just beginning its multinational operations about managing employees in different countries?

CHAPTER CASE:
THE CASE OF THE WRONG MANGOES

In due course, you find yourself out of school and holding a good "normal" job working for a firm that specializes in producing canned fruit. Your boss calls you in and announces that the firm has made a major decision: it will be moving immediately to set up a subsidiary in Jamaica to produce canned mangoes.

"It's a whole new concept," your boss explains. "Nobody else is canning mangoes, so we should make a fortune. Did you know that the Jamaicans grow over thirty varieties of mangoes?"

You didn't—and furthermore you don't even like mangoes—but you agree to go and help with the start-up.

When you reach Jamaica, however, it's clear that all is not well. The firm is getting ready to start production—and the employees and the management team (consisting of a group of British, Australian, and American managers from the firm's home location) are already at odds. You discover that while the top management team was regarded as excellent at home, none of the team has even been to Jamaica before.

"Shouldn't be a problem, though," remarks the British general manager. "After all, Jamaica was a colony of ours for years. They've inherited our laws and customs, and they even speak our language."

The last comment, you soon discover, is something of an overstatement. In fact, the Jamaicans speak a patois, a combination of French, Spanish, African, and English, the result of their slave heritage. They can understand "standard" English when it is spoken slowly and clearly but are also masters at not understanding when it seems convenient.

As for the customs and manner of thinking of the people, you are somewhat at a loss. As best you can tell, their religion consists of a veneer of Christianity overlaying several forms of voodoo-like worship stemming from their African heritage. In addition, Rastafarianism has taken on an important role. It is a highly passive-seeming worship—the "Rastas" simply smoke the local "ganga" all day and await the second coming of Christ, who is to be incarnated in the form of an emperor of Ethiopia.

Things reach a crisis when the first canning operation is an utter failure. The mangoes taste all right (though you still don't like mangoes), but the texture is terrible—a ghastly, stringy, soupy mixture. You are present when the general manager holds a fact-finding meeting. The few Jamaicans who are present say nothing. Finally, under intense questioning, one of them offers, "Well, *saar*" (this is how they refer to anyone perceived as a "boss"), "the problem is the mangoes, you know."

"What on earth do you mean?" bellows the general manager. "They were plenty fresh and ripe, because we checked carefully."

"Of course, *saar*," replies the subordinate, "but they were the wrong kind, you know. Those were sucking mangoes, not chewing mangoes. The chewing ones are the only kind you can eat."

"Insubordination!" responds the general manager.

"What now?" you wonder.

Case Questions

1. There's clearly a communication problem in the Jamaican operation. What factors are contributing to the lack of communication between the Jamaicans and the management team? What should be done?
2. Perhaps differences in values are creating problems. How would you guess that the Jamaicans would rate on the values that Hofstede talks about? What about the British general manager?

3. The British general manager believes that the Jamaican subordinate is "insubordinate." Is this true? Why does the manager believe it? Explain in terms of the attribution process and communication.

GLOSSARY

achievement-versus-leisure orientation: A cultural dimension that indicates whether task accomplishments are more or less important when compared against having a happy, harmonious set of work relationships.

acronym: A series of letters used as an abbreviation for a sequence of words. For example, the acronym ASAP replaces the four words *as soon as possible.*

collectivism: A cultural value in which individuals are strongly concerned for groups and other social units around them.

femininity: A cultural value that shows concern for relationships, the welfare of others, and the overall quality of life.

formality versus informality: A cultural priority indicating which is more important—the observation of tradition, ceremony, and sound rules or flexibility, spontaneity, and reaction as the dominant factors.

idioms: A sequence of words placed together to have a unique meaning different from the meanings the words have when used separately.

individualism: A cultural value in which individuals show more concern for themselves and their immediate family than they show for groups and others outside their close circle.

initiative: A cultural factor indicating the degree to which employees are self-starting, self-directing, and self-motivating. Individuals seek solutions to their own problems and act responsibly.

masculinity: A cultural value that shows the degree to which people are assertive and interested in the acquisition of money and material things.

multinational: Anything in which the cultures of more than one nation are involved.

multiphrase combination: A communication term where more than one word is used in a situation where one word could be sufficient.

power distance: The degree to which nonpowerful individuals accept the unequal distribution of power around them—the acceptance of the fact that others have more authority than they have.

slang: The jargon (terminology) of a particular class or society that is often unknown by outsiders.

time orientation: A cultural value indicating the importance of promptness in meeting obligations and deadlines as well as the length of time for which planning and goal setting occurs.

uncertainty avoidance: The degree to which members of a specific culture feel threatened by ambiguous situations. High uncertainty avoidance cultures are those that feel much stress when ambiguity develops.

Chapter 4

Organizational Culture—
The Planned, Structured Side

OBJECTIVES

- To define an organization's culture and its purpose
- To compare productive cultures with destructive cultures
- To recognize the effects of the organization's culture on the actions of individuals and groups
- To discover the inputs of the formal structure
- To learn the manager's role, opportunities, and obligations toward the culture and the formal structure
- To discover the options available in formal organizational structures
- To develop skill in selecting the appropriate formal structure for different situations and organizations

A CASE TO CONSIDER:
FAIRFIELDS NURSING HOME

Fairfields Nursing Home is a well-respected facility established primarily to provide medical attention to the elderly and to other invalid or semi-invalid persons. The home is owned by five businesspeople, and one of the men, Lewis Starrker, serves as full-time administrator. The patients or their relatives pay rather sizeable monthly fees for the continuing care provided. The service and attention given by the home is considered by most to be excellent.

In the early years, the home was rather small, and the administrative problems were few. As the capacity of the home was increased and the volume of patients began to grow, the duties of the administrator grew too large for Starrker to handle alone. About five years ago, an assistant administrator was hired and given the duties of overseeing the business office, building and grounds maintenance, and laundry and housekeeping activities. Complete authority was given to the assistant administrator over these activities. In addition, the assistant administrator was designated to serve in the full ca-

pacity of the administrator when the administrator was away from the nursing home. In this event, all workers were under his jurisdiction.

About a year ago, the position of assistant administrator became vacant, and Bentley Cantrell was hired to fill the position. The current duties of the assistant administrator remain basically identical to the responsibilities outlined five years ago (see Exhibit 4.1 for the current organization chart). Cantrell is well qualified for his position. He has a bachelor's degree in management with a good foundation in accounting. For two years prior to coming to Fairfields Nursing Home, he was office manager in a position where he supervised purchasing, receiving and delivery, and payroll and bookkeeping. On occasion he also worked on the problems of the physical plant of the hospital and its upkeep.

Mr. Starrker is somewhat disappointed in Cantrell's performance over the past year. Cantrell knows how the work should be done, and he gets along with the employees; but he fails to handle problems promptly. He puts off telling his subordinates what to do and is especially reluctant to correct them when they make a mistake. The reluctance to act apparently cannot be explained by ignorance, because when Starrker confronts Cantrell with the need for action, Cantrell always proposes a good solution. However, when Cantrell is instructed to move ahead, he expresses doubt that the supervisors and employees beneath him will be able to follow his instructions. Many times he elects to do a job himself rather than direct his subordinates to handle it.

Case Questions

1. Consider the organizational chart for Fairfields Nursing Home. What problems, if any, do you see in the planned structure for the nursing home? Do the spans of supervision seem to be about right?
2. How are the supervisors of the three shifts and the nurses, helpers, and therapist who report to them different from other workers at the nursing home according to the planned structure?
3. Does the organization need a mechanistic structure or an organic structure? Why?
4. How would the organization structure look if the organization was organized as a network structure? Who would the partners be? What would be their responsibilities?
5. What problems exist at the nursing home that aren't related to its structure?

*   *   *

The way an organization is designed to function and the way it actually functions are two different things. Within the boundaries of every organiza-

EXHIBIT 4.1. Organization Chart for Fairfields Nursing Home
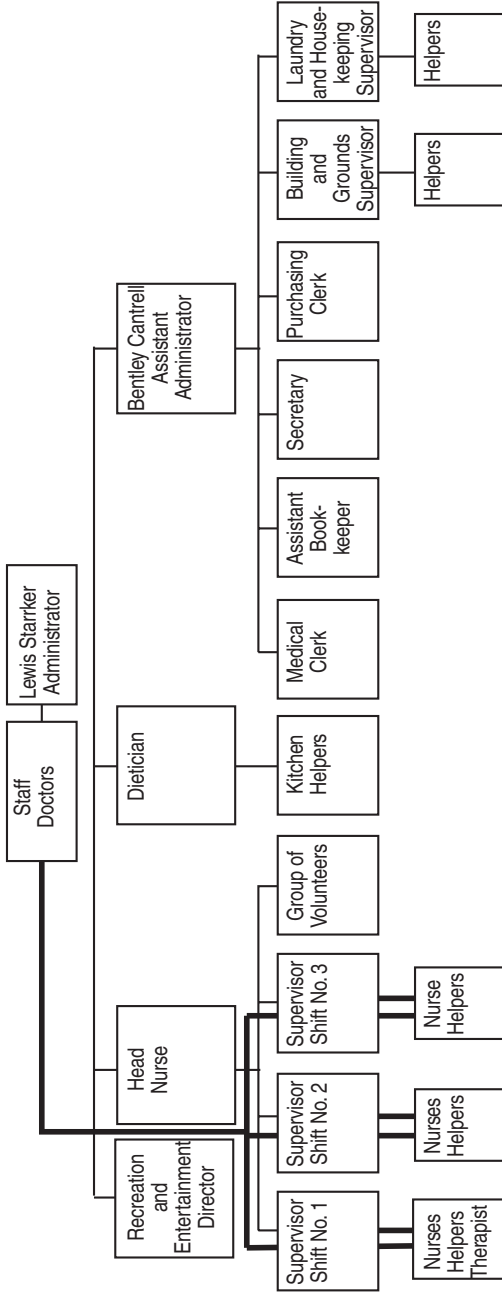
tion is that organization's own unique culture. The culture is composed of two parts—the planned, formalized side and the unplanned, spontaneous informal side. In this chapter, the culture will be introduced and the planned part of the culture will be considered. Then Chapter 4 will concentrate on the unplanned perspective.

THE CULTURE OF THE ORGANIZATION

When you first hear people talking about organizational cultures, you're likely to think that they're talking about an abstract concept. You might think of culture simply as something that anthropologists study when they visit exotic places and analyze the native people's behavior. What does culture have to do with the realities of life in an organization? As soon as you've worked for a couple of different organizations, you'll quickly learn the enormous difference culture makes. Take the experience of Bill, a student at a community college in a large southern city. Like many students, Bill works to pay his expenses while continuing his education. He had been working nights for the past year or so at a small, family-owned video store and going to school during the day. Recently, a new video store, part of a larger chain, opened closer to his home, and Bill resigned from his job at the small operation and went to work for the new, larger video store.

> Let me tell you, that was the biggest mistake I ever made. In the first store, we felt like part of the family. There was a feeling of trust. Oftentimes the night manager would go out of town and leave the employees to handle things. As for scheduling, we'd get a basic schedule, but if anybody needed a change, they'd let us work it out. We felt like management respected us—they treated us like we had brains, not like children. We liked and trusted each other, too. I knew if I got behind I could count on the others to help me out. It was a real team effort. I hated leaving, but the new place was only five minutes from my house, and I figured video stores are alike. *Wrong!* The new place has this dog-eat-dog atmosphere. Management is on us every minute. And to get in good with management, the employees report on each other. They'd die before they'd lift a finger to help anyone else. If I get behind, they report me to the boss. They hardly speak to each other, much less socialize. I'd go back to my first job in a minute, but they've already filled my slot. So it looks like all I can do is kick myself for making a terrible decision!

One thing Bill's experience points out is that organizational cultures are real and can make a difference. Organizations with strong, positive cultures can be great places to work, while those with negative cultures can be pretty

grim. Most of the time, it is difficult to perceive an organization's culture from the outside, such as when applying for a job. We will be discussing several aspects of culture that will be of importance in understanding roles and relationships of managers and employees. As Bill's experience points out, it's important to be sensitive to organizational culture and to spot signs of problems when looking at an organization from the outside—as a job applicant, for example. Furthermore, if you serve as a manager, you'll find that you have responsibilities for shaping the culture through your own actions and through the way you deal with your authority as well as the way others use their authority.

Characteristics of an Organization's Culture

An organization's culture consists of the values, norms, and attitudes of the people who make up the organization. Values show what is important; norms reveal expected behavior; attitudes show the mind-set of individuals. The group selects symbols, slogans, and ceremonies to convey its values. Thus, the culture tells people what is important in the organization, how to behave, and how to perceive things.

At the beginning of a completely new organization, the formal structure, goals, and procedures may dictate the culture. What the organization and its founding bosses want may closely resemble what their employees want. As time goes on, however, the official values and patterns and the actual ones of the people in the organization tend to drift farther and farther apart. Someone has said, "Left unattended, a company's culture almost always becomes dysfunctional."[1] In other words, the original ideals and the practiced behaviors frequently become separated to the point of becoming destructive. That's why it can be exciting and fun to be part of a newly forming organization. You can take part in forming its culture. Once an organization has been around for awhile, cynicism and distrust may take over unless management actually takes part in managing the culture.

An organization's culture usually contains several characteristics, including the following:

Individual autonomy—the degree of responsibility, independence, and opportunities for exercising initiative that individuals in an organization have. (Bill's experience points out how differently autonomy can be handled in different organizations.)

Structure—the degree of rules and regulations and the amount of direct supervision that is used to oversee and control behavior. (Again, Bill's experience shows how different the number and the kinds of rules and the amount of supervision can be, even in supposedly similar firms.)

Support—the degree of assistance and warmth managers provide for their subordinates. (Notice the difference in trust that Bill found in the two organizations.)

Identity—the degree to which members identify with the organization as a whole rather than with their particular work group or field of professional expertise. (In the first organization, Bill felt like part of the family. What about the second?)

Performance-reward—the degree to which rewards in the organization (salary increases and promotions) are based on employee work performance. (Notice that in the second organization, gaining favor with management came from informing on others.)

Conflict tolerance—the degree of conflict present in relationships between peers and work groups as well as the willingness to be honest and open about differences. (The key here is Bill's comment that management in the first organization would "let us work it out.")

Risk tolerance—the degree to which employees are encouraged to take chances. (This also deals with whether mistakes are punished or treated as learning experiences. How would you rate Bill's second organization in this area?)

Attitude toward change—the response given to new methods, ways, and values.

Focus—the vision of the goals and objectives of an organization's operations as communicated by those in control.

Standards and values—the levels of performance and behavior considered to be acceptable by formal and informal criteria.

Rituals—expressive events that support and reinforce organizational standards and values.

Concern for people—the degree of care and concern the organization shows for its employees, its management teams, and its shareholders.

Openness, communication, and supervision—the amount and type of interchange permitted. The communication flow can be downward, upward, across the organization, and in other directions as spelled out by the culture.

Market and customer orientation—the extent to which the organization is responsive to its markets and customers.

Excitement, pride, and esprit de corps—a tangibly good feeling about the organization and its activities.

Commitment—the willingness of individuals to work toward goals on a continuing basis.

Teamwork—people working together for the common good.[2]

As can be seen by quickly reviewing the above list, some of the cultural factors are spelled out by an organizational decree. Such factors as defined

boss-employee relationships, job descriptions, and required performance reviews provide the bases for some of an organization's culture. Many of the factors, however, are determined by groups and individuals as they interact with one another on a day-to-day basis. As a manager, you normally will have more control over the formal aspects of the organization than you will over the informal. We will begin by looking at the formal side.

An Ideal Organizational Culture

A starting point, of course, is knowing what an organization's culture is supposed to look like. If the ideas of Robbins and Kilmann (see notes 1 and 2) are pooled with the idealistic writings of Rensis Likert[3] (see Chapter 10), a perfected culture might develop. We could propose that an ideal culture for the accomplishment of an organization's goals might be one in which:

- The organization's goals are established and reviewed periodically through the participation of all individuals and groups in the organization.
- Decisions are made at the appropriate level in the organization by the people who must live with the decision.
- Behavior is supportive of the organization's goals and purposes.
- The organization is supportive of the needs of individual employees.
- Individuals and groups show high levels of trust and respect for other individuals and groups.
- Superiors and subordinates have a high level of trust and confidence in each other.
- Cooperation and teamwork exist at all levels in the organization.
- Methods of reinforcement used are primarily rewards and participation.
- Individuals are cost conscious.
- Messages move upward, downward, or across the organization as needed to get information to the appropriate places.
- Downward communication is accepted with an open mind by subordinates.
- Upward communication is accurate and is received with an open mind.
- Changes are initiated to improve performance and goal attainment.
- Changes are received and accepted openly.
- Individuals speak with pride about themselves and their employer.
- The time individuals spend performing tasks is related to the contributions of the tasks toward the achievement of the organization's goals.

- Individuals are motivated through enjoyment from achieving the organization's goals.
- Conflict is seen not as a destructive force but as a potentially constructive activity.
- Where risks are necessary, endangered individuals and groups are given support.

The idealistic culture may seem unrealistic; in many situations, it probably is. Management's role, however, is to achieve as much of this as is possible.

The usual starting place for the planning and designing of an organization's structure comes after mission statements have been created. Mission statements identify the purposes and directions an organization plans to pursue. Typically mission statements will include the products or services to be offered, the customers who will be targeted, the stakeholders (in addition to customers) with whom the organization will interact, the organization's responsibilities to its stockholders, and other goals that will give direction to an organization's efforts. Value declarations may also be included to reveal how an organization's commitments will be actualized.[4]

The determination of mission statements usually involves upper levels of management primarily, with other managerial levels participating to a lesser degree. When mission statements have been completed and accepted, management's responsibilities for providing the appropriate structure for goal achievement begin. The formal structure contributes to the culture of an organization by laying the foundations, establishing planned relationships, and outlining the general boundaries in which organizational activity will take place. We say that organization structure traditionally deals with authority relationships and the level of centralization or decentralization, among other things. Let's consider some of the planning and designing that managers perform in their roles.

Authority Relationships

The ultimate source of authority has traditionally been the top of the organizational structure (the board of directors, the owners, the general manager, or whoever may be at the highest level). The highest manager is reported to directly by a group of employees; the employees have their own charges; and so the hierarchy goes until the lowest level in the organization is reached.

A look at a formal organization structure may help to understand how authority operates. The formal organization chart for the United Manufacturing Company shown in Figure 4.1 is a partial chart designed to show the formal location of office and secretarial personnel within the total structure.

FIGURE 4.1. Location of Office and Secretarial Personnel in the Formal Organization Structure
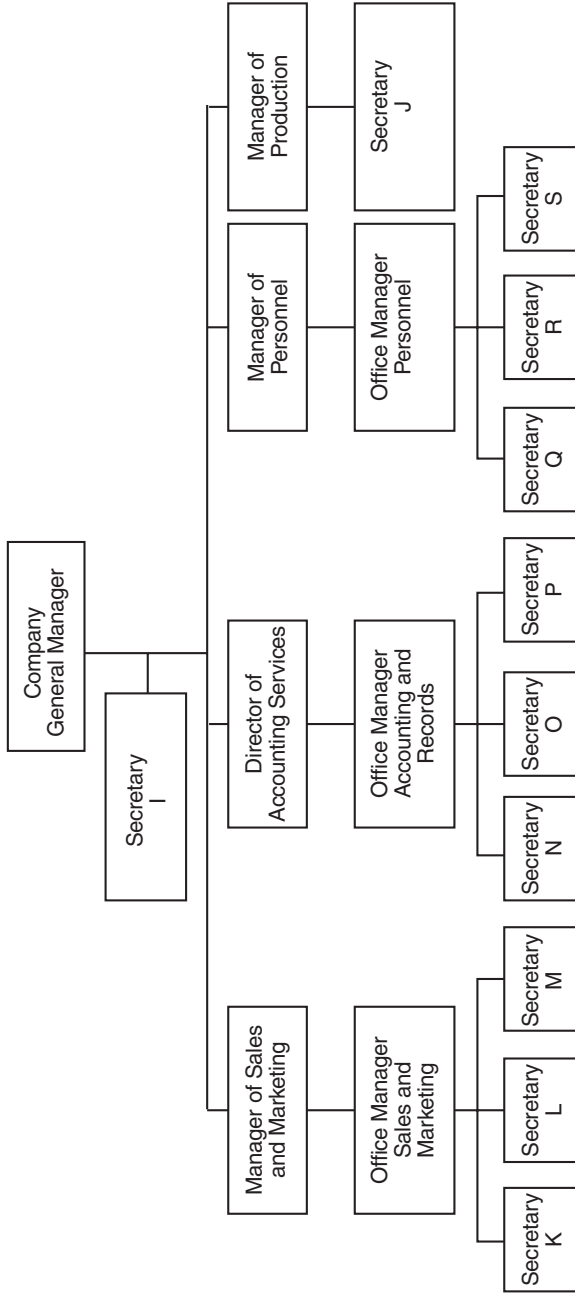
Only the formal channels connecting the office managers and secretaries with the lines of authority and communication are shown in the chart.

As can be seen in the formal structure, the company general manager has a private secretary (Secretary I). However, in the departments of sales and marketing, accounting services, and personnel, a secretarial pool has been created in each department to serve all managers and supervisors working in these departments. The formal chain of command and authority relationships are clearly defined in the chart.

A key management traditional principle—the unity-of-command concept—states that every employee should have only one boss to whom the employee is accountable and through whom orders and directions should flow. Guidance and control bonds are strong when this principle is adhered to.

Can top management give orders to the people who work several layers (levels) below them? A traditionalist would say that upper-level managers influence the people who work for their lower-level supervisors, but they must do it through the chain of command. For example, they could tell the department heads what they want done and then have the department heads give the orders to their employees. The result is the same—the employees get the orders. From the traditional view, however, confusion is eliminated because employees get orders from only one person—their immediate supervisor.

The horizontal structure identifies peers, colleagues, or fellow workers across the organization. Individuals located on the same horizontal level normally have no authority over each other, and they tend to be about equal in terms of the amount of formal influence that they have. A key question that arises from a study of authority relationships concerns how closely management adheres to the traditional view. Is the chain of command followed without exception or is there a degree of flexibility for individual initiative? Management's decisions about how to handle the chain of command send important signals about the culture. Is it "We go by the book around here" or "We're a team, and each member has a say"? Glance back at Bill's experience in the two video stores. How does each store handle authority?

Communication Channels

Traditionally, the path for communication coincides with the formal lines of authority. Messages downward must flow from superior to subordinate until the lowest level needing the information has received it. By the same token, messages moving upward go from employee to supervisor until the highest level on the ladder needing notification has been informed. Obviously, there's a lot of opportunity for messages to get lost or distorted in the traditional communication process. It's not unusual to hear employees complain about the slowness of the system. Traditionalists agree, however, that

what's lost in timeliness is gained in order and lack of confusion. The same ideas apply to communication between peers or others at basically the same level. Again, the process may be cumbersome. Messages are expected to go to the immediate superior and then downward again. Notice in the Fairfields Nursing Home case how it would be necessary for the director to go through Bentley Cantrell to get a message to the purchasing clerk. The immediate step might delay or distort the message.

The Span of Supervision

Another concept important to the traditional scheme is the span of supervision, consisting of the number of individuals who report directly to a specific superior. Each supervisor is accountable for the actions of the employees being supervised. The number of people supervised is important in that it determines the amount of attention, the type of attention, the ease of communication, and the methods for decision making that supervisors will use with their employees. Often managers can't provide adequate leadership to employees simply because they are stretched too thin. The tightness or looseness of supervision sends messages to employees about what management expects of them. Tight supervision expects more exact performance, while loose supervision provides more freedom and flexibility. In most situations, such as in the Fairfields Nursing Home case, the spans of supervision are rather small. Employees can be given adequate attention and support it would appear.

Specialization

Specialization of job assignments is another consideration from the traditional perspective. Specialization occurs when individuals are given assignments that are concentrated requiring a specific set of skills and knowledge. In the highly specialized job, the individual performs a limited number of tasks, often somewhat repetitively. High specialization involves limited task variety and may result in reduced task identities. Task identity is the completion of whole tasks rather than just parts of a task. A highly specialized person on the automobile assembly line might work on door handles all day long, where a less specialized person might assemble an entire door. In the chapter opening case, most employees would, of necessity, have a variety of duties and responsibilities.

Wherever job specialization occurs, workers tend to develop higher levels of expertise in a more limited number of categories. Efficiency and economy may be gained through specialization. Recent trends have suggested, however, that it is possible to specialize too much, so that skill development may be too restricted and activities can lack proper coordination. Employees may develop tunnel vision and show more concern for their special-

ized area than for overall organization goals. Notice again the cultural differences that may come about in highly specialized versus unspecialized organizations.

Centralization or Decentralization
for Decision Making

Another issue addressed by organizational structure relates to the level in organizations at which decisions are made. In a centralized organization, authority for decisions and other activities tends to be held by a few people—usually individuals located at the top. Decentralization results when authority for decision making and other activities is pushed to lower levels in the organization. Once again, management communicates important messages for the organization's culture when deciding how centralized or decentralized the organization should be.

From the traditional perspective, the formal structure of an organization does many things for the people who are a part of it. The formal structure defines for people what their job responsibilities are to be. The structure serves to influence behavior and to act as a behavior control. Rules and regulations are compiled with authority of position to enforce control relationships. The formal structure sees that jobs are designed and people are placed in them. The planned structure reveals how decisions will be made and who will make them. The structure indicates what individuals or groups have the authority to do. As a part of the plan, the amount of specialization is determined and communicated. The structure also tells people with whom they are expected to work. Obviously, the formal structure plays a major role in shaping behavior within the organization.

Mechanistic and Organic Formal Structures

In most management circles, two different approaches to providing organizational structure are discussed. One type of organizational structure is called the mechanistic structure. Most of the description of the traditional approach mentioned in the previous paragraphs would be compatible with the mechanistic structure. Figure 4.1 is an illustration of the mechanistic view of structure. The mechanistic structure can normally be drawn in a pyramid form with few people at the top and many people at the bottom. The structure remains basically the same over long periods of time.

In the really classic mechanistic structures, an employee will report to a single boss. Lines of authority and communication are expected to be followed rather rigidly. Managers are not to bypass their subordinates to communicate with people at lower organizational levels nor are employees supposed to skip their immediate bosses to communicate with someone at a higher authority level. In mechanistic structures, decision making tends to

be a top-down kind of pattern. Spans of supervision maintain constancy. Any departmental boundaries that have developed also continue with consistency. Change tends to be resisted in the mechanistic view of organizations. While the mechanistic structure is fixed and rigid, the alternative type of structure called the organic organization is based upon flexibility. Typically, the organic structure has no fixed, permanent hierarchy. People may be grouped together to accomplish one task, then redistributed to work on other tasks. Individuals and groups may be working on more than one project at a time. Individuals may have one boss, several bosses, or no bosses (they may be expected to exercise self-leadership). In Table 4.1 there is a comparison of the differences between the mechanistic or organic structural approaches to organizations.

TABLE 4.1. A Comparison of Mechanistic and Organic Organization Structures

Mechanistic	Organic
1. The structure is usually shown as a hierarchy with the dominant authority residing at the top.	1. The structure is often shown as a network with no one source of authority being dominant over others.
2. The expected response to authority is submission to it.	2. Participants in the organization are seen more as partners than as supervisors and subordinates.
3. Responsibility is fixed by a superior, and subordinates are to accept assignments given to them.	3. Responsibility is based upon people initiating their own duties and performing based upon willing cooperation.
4. Tasks remain rigidly defined unless changed by top management.	4. Tasks are continually redefined as organizational members interact with each other.
5. The hierarchy is the control structure using sanctions and disciplinary action.	5. Control is achieved through self-discipline and through peer pressure.
6. Information moves primarily up and down the lines of authority. There is more downward communication than upward communication.	6. Communication is open and flexible. Individuals and groups communicate directly with anyone at any location in the organization. Communication across the organization is encouraged.
7. Decisions are made at the top or are specifically delegated to others.	7. Decisions are made by individuals who are affected by the decisions.
8. Leadership tends to be directive.	8. Leadership tends to be more participative-delegative.
9. Organizational relationships are expected to remain constant over a long period of time.	9. Organizational relationships are expected to be flexible and constantly changing.
10. The workings within the organization itself are concentrated upon.	10. Environmental factors are given significant amounts of consideration.

Note: See Tom Burns and G. M. Stalker, *The Management of Innovations* (London: Tavistock Publications, 1931), 119-122, for related ideas.

The network organization is an example of the organic structure with its greater flexibility and its more open approach to getting things done. The network structure might be viewed as a structure with a nucleus and a number of appendages. The nucleus represents the coordinator-broker of a set of relationships working together to accomplish a common group of goals. Each of the appendages represents a grouping of individuals performing a specific set of tasks which contributes to the overall objectives of the loose union. In the network shown in Figure 4.2, the coordinating individual or unit is shown as Partner A. This individual or group might also be called the broker(s) of the organization. Not only is Partner A responsible for coordinating the activities of all partners so that there is a collective effort, but Partner A may also perform value-added activities for the benefit of all components of the larger organization. Each of the partners contributes in an area where it is best suited to perform. Partner A, for example, might be par-

FIGURE 4.2. The Network Organization As an Organic Structure
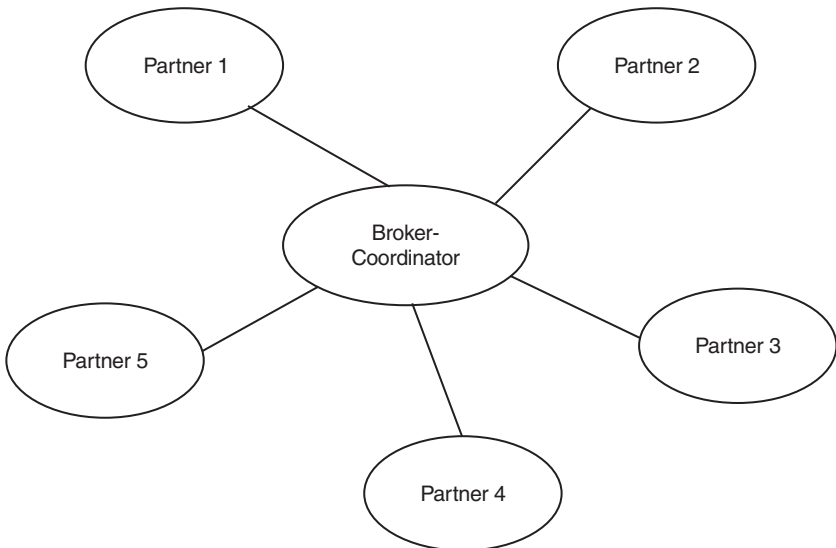
Note: Broker-Coordinator: (1) does best value-added activity; (2) coordinates activities of other partners. Each Partner: (1) has a separate function, territory, etc; (2) contributes what he or she does best.

ticularly good at research and development. As a result, Partner A will do the research and development for the network in addition to its coordination activities. Its coordination activities would include things like establishing and maintaining communication channels, seeing that each partner is aware of its expected contributions to the organization, assessing organizational needs to be sure that all functions necessary for the success of the organization are being performed by a partner, and otherwise providing relevant leadership. Each partnership unit contributes whatever function it is most capable of doing (selling, acquiring resources, distributing, and so forth). Each partnership unit is responsible for arranging its own internal unit structure and for monitoring its own performance results. Each unit is expected to be its own self-evaluator. The partner may have regulations, procedures, and relationships that differ from those of their partners. Each partner is also responsible for interaction with environmental components—customers, suppliers, competitors, and whatever makes up the environment outside the organization.

Communication between partners can be direct across the entire organization if needed. Partners may come and go according to the need for their contributions. As such, the network is open, flexible, and constantly changing when compared with the rather fixed, unchanging world of the mechanistic structure.

THE BEST STRUCTURE
FOR AN ORGANIZATION TO HAVE

True to what we have studied about situational-contingency thought, there's no single best structure to fit all organizations. There is a time and a place for mechanistic structure just as there is a time and a place for organic structure. Some of the questions to ask to help choose the right structure for an existing situation are shown in Table 4.2. Several of the questions developed in order to select the appropriate structure come from well-established theories and models. Burns and Stalker, for example, have given special attention to the environment surrounding the organization as a major indicator of structural appropriateness. If the environment (everything outside the organization) is mostly static and unchanging, they propose that the mechanistic structure is best suited to provide the right structure. If, on the other hand, the environment is dynamic and constantly changing, the more flexible organic structure will be needed.[5]

Woodward considered the type of technology primarily used by an organization as the key to the appropriate structure. She identified three basic technologies or production methods—customized small batch, mass, and continuous process production. Organizations using customized or continu-

TABLE 4.2. Determining Which Organizational Structure Is Most Appropriate for an Organization

Type of Structure	Mechanistic	Organic
How frequently do relationships and circumstances change within an organization?	Should be infrequently	Frequently, constantly
How capable are individuals and units when it comes to control?	Don't have to be too capable; others will perform this function for them	Must be self-leading and self-controlling
What kinds of motivation will work best in order for this to work?	Rewards and penalties work best	Self-motivation is most effective
How much conformity to rules and regulations is needed?	Strict adherence to well-established rules	Rules are few and limited in scope
Where will decision responsibility be most effective?	Centralization is possible and practical	Decentralization is possible and useful
How much attention must be given to environmental factors?	Internal factors are more important than environmental factors	Environmental factors are of much importance to the organization
How much do environmental factors change?	Environmental factors are stable and consistent	Environmental factors are constantly changing and volatile
What kinds of technology are used?	Mass production is appropriate	Customized and process productions are appropriate
How important is creativity and innovation?	Relatively unimportant	Important
What kind of power do managers prefer to use?	Power of position	Expert power
How routine are the tasks that units and individuals perform?	Highly routine	Constantly changing
How well defined and analyzable are tasks?	Tasks are well defined and analyzable	Tasks are not well defined nor are they analyzable

ous process technological methods needed organic structures to be adaptive and flexible. Organizations utilizing mass production could use a mechanistic structure successfully.[6]

Perrow proposed that the mechanistic approach is appropriate when tasks are well defined and analyzable and that the organic approach would be more appropriate when tasks are not well defined and tasks are not easily analyzed.[7]

As was mentioned earlier, the formal structure plays a significant role in management's attempt to design and influence behavior in the organization.

The formal structure is only one part of the organization's culture, but it is an important part. It's easy to see the different effects on organizational activities based upon the type of formal structure that is in place. Obviously important, of course, is the choice of type of structure in response to the components of the situation.

CONTEMPORARY HAPPENINGS
IN ORGANIZATIONAL COMPOSITION

Almost every time we pick up a newspaper or a trade publication these days, we see stories about major changes in organizational cultures. Sometimes the changes will be in the form of acquisitions and mergers. Sometimes the story is about organizational downsizings and outsourcing. Let's take a closer look at the phenomena of downsizing and outsourcing.

Organizational Downsizing

Gaining a competitive advantage is a major goal in organizations in almost every industry. There seems to be a general belief that if an organization can increase worker productivity and decrease operating profits, a real competitive advantage can be achieved. A strategy for achieving higher productivity and profits in many organizations has been to reduce the size of an organization by eliminating employees through layoff or discharge. In effect, the goal is to eliminate people and payroll by getting those who remain in the organization to take up the slack and increase their productivity.

Managers probably should take a closer look at the track record of downsizing in recent years. In only about 50 percent of the downsizings in the United States have organizations been able to increase their operating profits. A majority of the time (almost two-thirds of the time, in fact) work productivity has not improved. In almost every situation, downsizing has led to lower morale.[8]

There are, no doubt, some legitimate explanations for downsizing's poor performance. Experts cite poor planning, the repeated use of downsizing year after year, and the use of discharges and layoffs as the primary method for downsizing as causes of poor results. In fact, it would appear that very little attention has been given to any method of downsizing other than removing people from the existing labor force. Other options to downsizing seem to be used only infrequently. Cutting a percentage of everyone's pay, reducing the number of hours everyone is permitted to work, and the use of job sharing are a few of the options available.

Organizations in other countries have frequently used different approaches that have avoided downsizing while improving the results. In Ja-

pan, typically three stages occur in employment adjustment, for example. When it is determined that workforce payroll needs to be reduced, the first managerial response is to limit the amount of overtime employees can work, to reduce the number of hours or days that everyone is permitted to work, and to make internal transfers. If the Japanese efforts to cut wage expenditures are not considered adequate after the first stage, the next stage is to cut the hiring of permanent staff, reduce or eliminate extra and part-time workers, and issue temporary leaves of absence. The third stage, if needed, is to take more drastic steps such as transferring people out, allowing early retirement with assistance, allowing voluntary layoffs, and, finally, implementing compulsory layoffs. Through the additional efforts of Japanese managers, a higher level of success and of employee morale is achieved.[9]

Outsourcing

Outsourcing can be used as a method of downsizing, or it can be used independently. Basically, outsourcing is allowing a unit outside of an organization to perform functions or duties previously performed within an organization. For example, an organization might turn over all selling activities to another firm. This type of outsourcing would allow the organization to reduce its own payroll and its own scope of activity. Usually, outsourcing focuses on hiring people to do what they do best. The networking structure mentioned earlier would allow for this. There must be a coordination of efforts and a high level of trust if this method is to be successful.

SUMMARY

Every organization has its own culture; that is, it has its own set of values, norms, and attitudes. The culture is shaped by the personal characteristics and needs of individuals as they interact within the formal and informal structures. The culture is sometimes constructive in its action; at other times, it is destructive. The ideal culture, of course, would be one in which everything that is said and done is positively beneficial, but that is unrealistic. The formal structure of an organization's culture provides much of the authority relationships and patterns in which individuals work. The formal structure also establishes formal communication channels, the type of supervision that will be given (close versus general), the level of specialization employees will have, and the location where decisions will be made (centralized or decentralized).

The formal side of an organization's culture is the one that is planned by the managers and the managerially approved teams who establish the official boundaries, the rules, procedures, and the work assignments that result

in organizational performance. The formal side of an organization's culture may or may not be complementary to the informal side. We'll see the implications of this as we look at the next chapter. Check your own attitude toward the manager's role within the formal organization by answering the questions in the Personal Feedback section.

PERSONAL FEEDBACK
Survey of Attitudes Affecting the Manager's Role within the Formal Organization

Please circle whether you agree (A) or disagree (DA) with the following statements. There are no right or wrong answers. After you have finished answering the questions, some additional actions will be asked of you.

A DA 1. All people are alike and should be treated as if they are alike.

A DA 2. It is the manager's job to see that subordinates have the skill, materials, and tools that they need to do their jobs.

A DA 3. A worker's personal problems should never be a concern of the worker's supervisor.

A DA 4. An employee will work better when reporting to two bosses rather than one.

A DA 5. An employee who is afraid of an immediate supervisor will probably communicate freely and openly with the supervisor.

A DA 6. A manager should try to be a close friend to employees.

A DA 7. Employees have the right to know the rules and regulations by which they are expected to live and work.

A DA 8. Most employees don't really care about the success of their employer. In other words, employees aren't concerned about whether their employer does well.

A DA 9. No two employees have the same abilities, strengths, and weaknesses.

A DA 10. Workers seldom wish to receive information about the organization that employs them.

A DA 11. Plans should be made before action is taken.

A DA 12. A manager who demands a high level of performance from employees will cause employees to be unhappy and dissatisfied.

A DA 13. A manager should be held accountable for the actions of employees.

A DA 14. A manager should seek perfection (perfect performance) from those supervised.

A DA 15. A manager should rarely if ever use fear as a motivational mechanism.

A DA 16. Managers should go by the book when they supervise others. They should never stray from rules and regulations.

A DA 17. Every employee should be given a specific, detailed job description.

A DA 18. People support what they help create.

A DA 19. People should be assigned to do whatever they do best.

A DA 20. Communication among workers should always follow the organization's chain of command upward and downward in the organization.

Now, go back and look at each answer separately. Consider how your attitude or belief will affect the way you deal with the employees you manage. For example, if you agree with statement 17, how would your role as a manager be affected? What happens when you ask an employee to do something that is not in a job description? What happens if an event occurs for which no one feels responsible? If you agreed with statement 18, how will this affect the way you make assignments to employees? If you disagreed, how will this affect your managerial actions? Visualize how what we think affects what we do. Then consider how these influence the functions of the formal side of the organization's culture.

QUESTIONS TO CONSIDER

1. From the formal side of an organization's culture, where do managers get their authority?
2. What are some formalized norms in organizations that you are familiar with?
3. From a formal perspective, how are people compelled to live up to norms and expectations?
4. Which industries and organizations can use mechanistic structures successfully? What are some industries and organizations where organic structures are appropriate?
5. Select an organization you are familiar with and write a set of mission statements you believe would fit it well.
6. What are the major problems and difficulties with the use of mechanistic structures? With organic structures?
7. What duties does the coordinator-broker in a network structure need to perform to help the network achieve its goal?
8. Since downsizing has only been moderately successful, why is this procedure used so frequently?
9. What are the potential advantages of outsourcing? What are the possible problems?

CHAPTER CASE:
CHANGES AT BARBADOS AIRLINES

In the 1980s and early 1990s, Barbados Airlines was a traditional regional passenger airline serving the Caribbean area. Everything about the airline was spelled out—there were rulebooks and manuals for every aspect of each job. Each job was precisely and narrowly defined, and there were strict reporting relationships and job descriptions. The key was strict control—a place for everything, and everything in its place. The organizational chart shown in Exhibit 4.2 depicts Barbados airlines during this time period. Everything was functionally defined. Only the flight operations department

EXHIBIT 4.2. Partial Organization Chart for Barbados Airlines 1980–Early 1990

```
                                    CEO
         ┌──────────┬──────────┬──────────┬──────────┐
  Public Relations/  Human      Central    Operations–
  Package            Resource   Reservations Carribean
  Development        Management              Area
                          ┌──────────┬──────────┬──────────┐
                       Sales     Finance    Flight
                       Department Department Operations
                                         ┌──────────┬──────────┐
                                    Terminal    In Flight   Baggage
                                    Reservations Operations  Services
                              ┌──────┬──────┐  ┌──────┬──────┐  ┌──────┬──────┐
                            Day   Afternoon/ Night  Pilots Flight Officers Day Afternoon/ Night
                            Shift Evening    Shift         Attendants      Shift Evening Shift
                                  Shift                                          Shift
```

is shown in detail, but the other departments had employees delineated in other positions as well.

Then things began to go wrong. The airline lost money because competitors were taking away more of the passenger business. The industry was turned upside down. Globalization was opening up the whole world for travel. A few new competitors were joining the industry while established airlines were forming all kinds of alliances with resort areas and other frequently traveled destinations. The United States, Barbados's biggest source of customers, was deregulating the airline business making the industry even more unstable.

At this point the board of directors for Barbados Airlines decided to bring in new leadership in the form of Chris Zacca, a young visionary leader who had been a high-level manager with a larger airline. Zacca began his work by developing advertisements communicating a vision for Barbados Airlines. Zacca had plans to cultivate better relations with the government of Barbados with the goal of becoming the official national carrier. Zacca recognized the need for a quick response to the changing needs and demands of customers—both the tourists and the business clientele. Cultivating better client relationships was a high priority.

Zacca's goal was to make Barbados Airlines a major airline with increased operations in the United States, expansion to parts of Europe, and the exploration of possible service to Grenada and Cuba. Zacca wanted marketing experts to find out what customers really wanted; he also wanted to discover why some of the flight operations people had become somewhat insensitive to the demands and needs of some clients and were also uncooperative with each other at times.

Case Questions

1. The organizational chart of the 1980s and early 1990s was a traditional, mechanistic structure. Was this appropriate during those years? Why or why not?
2. Based upon the limited information given in this case, how would a traditional, mechanistic structure look according to the goals outlined by new CEO Chris Zacca? Draw a traditional organizational chart showing the changes he had in mind.
3. Given the updated information, should the new structure at Barbados Airlines be mechanistic or organic? Why?
4. Using the network structure and other organic ideas, draw possible new looks for an organization chart. Who would be the organization's partners? What would be their responsibilities?
5. Should the new Barbados Airlines be more centralized or more decentralized? Why?

GLOSSARY

authority relationships: The situation in which an individual has the right to give orders and instructions to another individual and can expect the orders to be followed.

communication channel: The path through which messages are expected to pass within an organization.

downsizing: planned reduction in the number of employees an organization will retain. The purposes of downsizing are usually to increase worker productivity and to increase profitability.

formal structure: The set of relationships and boundaries formulated by an organization's management to facilitate the organization's achievement of its goals. The formal structure represents the design planned by management to regulate and influence the organization's culture.

mechanistic structure: The managerially designed set of relationships, usually in the form of a pyramid, that is appropriate when the environment is stable and internal functions require few changes.

mission statements: Descriptions of the purposes and directions an organization is expected to pursue.

norms: Standards of behavior to which individuals and groups are expected to conform.

organic structure: The managerially designed set of relationships, sometimes in the form of a network, where frequent change and the need for flexibility prevail.

organizational culture: The values, norms, and attitudes of the people who make up an organization. The culture lets people know what is important in an organization, how to behave, and how to perceive things.

outsourcing: Allowing individuals, groups, and/or organizations other than the primary unit to perform duties traditionally performed by the primary unit. In outsourcing, the performance units serve by doing whatever they do best.

span of supervision: The number of people who are directly accountable to an individual supervisor or manager.

specialization: The structuring of a job that results in an individual's doing a small number of tasks repetitively. Only a limited number of skills are required. Training is simplified as a result of the use of this procedure.

Chapter 5

Organizational Culture—
The Informal Organization
and Power and Politics

OBJECTIVES

- To identify the informal organization and its role within the organization's culture
- To recognize, define, and identify key issues related to power in organizations
- To discuss approaches to making constructive use of organizational politics
- To identify tactics for dealing with "barracudas" in political situations
- To discern the manager's role and opportunities toward the informal organization and organizational politics

A CASE TO CONSIDER:
THE THREE NIGHT CUSTODIANS

Edwin Armitage is superintendent of maintenance and sanitation at Audio Electronics Corporation, which manufactures and distributes electronic and sound equipment for a variety of functions. In his duties as superintendent, Armitage supervises the maintenance and repair of mechanical equipment involved in the production process and oversees janitorial and custodial work. The production shift at Audio Electronics runs from 8:00 a.m. to 4:30 p.m., five days a week. All of the maintenance and repair people work the day shift (except in emergencies) and are in constant contact with Armitage. They also perform limited cleanup work whenever their workload permits.

Three night custodians work from 4:30 p.m. to 12:30 a.m. They work independently; each one is responsible for cleaning one of the three production buildings. Armitage speaks with them briefly at the beginning of their

shifts and then departs for his home. He does not see them again until the next afternoon as they return to work. The custodians have been instructed to call the security guard with any serious problems, and, aside from this, the custodians work without any immediate supervision.

In recent weeks, Armitage has begun receiving complaints about poor janitorial performance. Most of the complaints have come from workers arriving to begin their day shift. Floors have not been swept, glass coverings have been left grimy, and other custodial duties have been ignored. More complaints are coming in. In addition, Armitage has received word from supervisors who have been working after hours that the night custodians are spending a large amount of time together drinking coffee instead of working. One supervisor told Armitage that he knew of at least two hours spent by the custodians one night in which they "drank coffee, ate sandwiches, and laughed a lot." Rumors have also gotten back to Armitage that the workers may be napping on the job in the late evenings when no one else is around.

Occasionally, in the early evenings, Armitage has begun dropping in on the custodians. On each evening when he has visited the custodians, they each have been busily working in their own separate buildings, and everything has appeared quite normal. When he asks them about the reason for failing to do parts of their job, they have said that they need more help because there is too much work for them to do.

As Armitage arrived for work this morning, he was met by one of the production supervisors, who wanted to talk to him. The supervisor said:

> Edwin, I think there's something you should know. You remember when you came out to the plant last Thursday night to talk with the custodians? I was working late that night and I couldn't help noticing what happened before you got there. At first, the three custodians were all loafing around in the building, drinking coffee, and gabbing. They got a call from someone, and I suspect it was the security guard at the gate. He must have told them you were coming, because two of them started running like crazy toward their own buildings, and the custodian assigned to our building sure got busy in a hurry. By the time you got to where they work, all the custodians appeared to be very busy. I think they are trying to put something over on you.

Case Questions

1. What type of work relationship appears to be developing among the night custodians?
2. What role does the night security guard appear to be serving for the work group?
3. Are there any explanations for the development of this informal work group? If so, what are the possible explanations?

4. What approach should Edwin Armitage take in dealing with the night custodians and security guard? Is there a way in which the informal ties can be used to the company's advantage?

* * *

ORGANIZATIONAL CULTURE
AND CULTURAL REALITIES

The ideals we talked about in the previous chapter sound wonderful, don't they? Organizational realities, however, are often quite different. That's because the underlying premise in the ideal culture is that the formal organization's norms and values are to be consistent with those of the various individuals and groups within the organization. Often, however, the norms and values of individuals and the groups to which they belong are antagonistic to formal goals. Also, the organization may not value the potential contributions of its workers. When this happens, we consider the culture to be in trouble. In fact, what has happened is that the culture has begun to send faulty "messages" to organizational members. It is not unusual to see and hear some of the following guidelines: "Never disagree with the boss." "Never rock the boat." "Treat women as second-class citizens." "Put down (rather than speak favorably of) the organization (employer)." "Do not enjoy the work being done." "Do not share information with other groups." "Treat those you supervise as if they are lazy or incompetent." "Cheating on expense accounts is acceptable." "Look busy even when not." "Do not reward employees on the basis of merit." "Laugh at those who suggest new ways of doing things." "Do not smile much." "Openly criticize company policies to outsiders." "Complain a lot." "Do not trust anyone who seems sincere." "Do not be too explicit in establishing norms."[1]

It is evident that the organization's culture can become very counterproductive. The basis of confidence and cooperation can be quickly undermined. One of the manager's most important (and most difficult) functions can be to bridge the gap between constructive needs of an organization and the informal, sometimes different norms that organizational members may establish. How can this be done?

The Manager's Role in Forming
the Organization's Culture

Much attention has recently been given to the manager's role in actively developing the organization's culture. This means that managers cannot afford to take a passive role and let culture develop naturally, since all too often this results in negative messages such as those listed previously. In man-

aging a culture, the manager needs to do several things. The manager must first let employees know what is valued and then reward performance that supports organizational values. Suppose, for example, that management decides customer service is to be top priority. If you are a manager, you need to communicate this to your employees and let them know what is expected of them. If you expect them to take extra time explaining how a product works, tell them so. Reward your employees with praise or bonuses when they do what is expected of them. Do not send contradictory messages, such as telling them to take extra time with customers and then rewarding those who take shortcuts to get the job done quickly. People do what they are rewarded for—not what we "hope" they'll do. And, by the way, *your* actions as a manager must be consistent with the culture you're building. If you expect your subordinates to treat customers with respect, they must hear *you* treat customers that way as well. It's all a matter of "walking the walk and talking the talk."

Additional Sources of an Organization's Cultural Information

The stories we tell, the heroes we choose, and the actions we take can also provide powerful messages about what an organization values. During the late 1960s, nearly every telephone company plant office had a picture of a lineman at work during a howling blizzard. Virtually every employee knew that the lineman's name was Angus McDonald and that McDonald had almost singlehandedly kept the lines open during a severe storm. The stories and the picture served as a vivid reminder to employees of what was expected of them.

Not only can stories and pictures show employees what is expected, but managerial actions can also provide dramatic evidence. The old adage that actions speak louder than words contains an enormous amount of truth. In the early days of the Marriott Corporation, J. W. Marriott, the founder, came into one of the firm's food service operations one day and found things in a real mess. The floor was dirty, and there were delays as the cooks tried to get food to the waiters and waitresses. Instead of giving the staff a dressing down, Marriott rolled up his sleeves and pitched in, cleaning the floor and then helping to get the food moving. As you might expect, the employees talked of little else for weeks afterward. J. W. Marriott's actions had expressed a vivid message about his priorities.

Co-workers are another source of cultural information for employees. They are in touch with one another a significant part of each working day, and they tend to know the importance of cultural values. Because there is day-to-day contact among workers, frequent interactions influence their colleagues' perceptions significantly. Bosses also pass along cultural information through the communication of rules, regulations, and other manage-

rial expectations. Customers and clients, through their own perceptions during their contact with employees, may further reinforce information about an organization's culture. Even an employee's friends and family can provide input that shapes the employee's view of the culture in which he or she works.2

OVERCOMING A FAULTY CULTURE

People and events make up a major part of an organization's culture. Past events and the people who participated in them continue to affect the organization's culture for years. Changing a culture based upon past happenings and people may be a difficult task. A top Fortune 500 manufacturer had a history of poor quality, hostile labor relations, and terrible productivity. The company, with a desire to improve all of the aspects, hired a consultant to help them resolve the problems and develop a new, more achieving kind of climate.

The consultant began work by talking with the employees. They eagerly told him about Sam, the plant manager who was a 300-pound gorilla with a disposition that made King Kong look like Bonzo the chimp. One time, Sam examined a transmission and ended up smashing it to pieces. A worker once summoned to Sam's office was so anxious that he threw up on the way. Another time, Sam drove his car into the plant, got up on the roof of the car, and started screaming at his workers. One worker, fed up, poured a line of gasoline to the car and lit it.

The consultant, after hearing these stories about Sam, was stunned and made an appointment to see the plant manager. When he walked into the office, he saw a pleasant-looking man behind the desk. The plant manager's name was Paul. "Where's Sam?" asked the consultant. Paul, looking puzzled, replied, "Sam has been dead for nine years."

At this point, the consultant realized that the problem of improving performance and changing the employee's attitudes and perceptions would be difficult. Paul, in trying to instill a sense of fairness and participation, was fighting against a strong history of abuse and autocracy established by Sam and others like him.

To deal with the past-history problem, Paul and his eight supervisors sat down with groups of eight to ten assembly workers to discuss Sam and the plant's history. In addition, Paul tried very hard to avoid doing things the way Sam would have done them. He sometimes could not anticipate how his actions would remind others of the culture Sam had established. Once, for example, he abruptly pointed at a worker, commanding him to throw away a Styrofoam cup left near a machine. The workers on the floor, mindful of the hateful Sam, thought something like, "Ah, he's just like Sam. He's a materialistic tyrant who likes spit and polish." It would have been better for Paul to

have tossed out the cup himself—a small gesture, yet that and a thousand other subtle messages would help transform the culture to a more supportive participative climate.

From the time the consultant was there, it took four years for Paul to successfully transform the culture.[3]

Informal Groups, Subcultures, and Organizations

As already noted, every organization has formal communication patterns that result from the organization's structure. However, in addition to that which is formalized comes the culture that is composed of the general perceptions workers have of the acceptable behavior patterns and norms of the organization. Within the generalized culture of an organization, small groups of workers develop their own subcultures, their own sets of goals, and their own sets of behavior norms. These subcultures or supplementary groupings of individuals within the more formal structure of an organization are often called informal groups or informal work organizations. An informal group simply is an unprescribed affiliation of individuals whose relationships are not bound by formal authority. The purpose of the informal group is to pursue the fulfillment of goals valuable to the group and its members even if the values are contrary to those of the formal structures.[4] These informal relationships develop spontaneously and are initiated by the workers themselves.

When we discussed authority relationships, we looked at how an organization's chart specifies reporting relationships. Now look back at Figure 4.1 in the previous chapter. The formal organizational chart does not recognize or indicate the existence of a number of informal groups that interact within the context of the formal structure. In many cases, the social ties, loyalties, communication systems, and behavior norms of the informal groups appear to be more influential than those of the formal structure. The visible informal groups that exist on a fairly continuous basis are identified in Figure 5.1.

The list of informal groups includes only those groups of which office and secretarial personnel are a part. The following brief explanation of the content of each of the groupings attempts to provide some rationale for associations and ties that have developed.

The group including D, E, and H. D (personnel manager) and E (production manager) normally might not include someone of lower organizational status and responsibility in their informal associations. However, office manager H happens to be the only male office manager in the company. He works regularly with the personnel and production managers on a number of projects. He is included in their informal group because of his

social acceptability as well as the frequency of his contact with the other two men.

The FG group. These two female office managers have many common interests and problems. They seem to need mutual support in dealing with the problems in their own departments. Office manager H would be acceptable for membership in their group, but he has shown little interest in affiliating with them since he is a member of the DEH group.

The FGI group. This group is composed of the two women office managers and the general manager's executive secretary. The group is a high-status "club" because two of its members are the only women managers in the company and the other member is strategically located immediately beneath the top-level boss as his chief assistant. These women have both on-the-job and off-the-job interests in common.

The IJ group. These people are the only secretaries who work directly for one boss. They perform a wider range of duties for their superiors than do the people working in the secretarial pools. They enjoy more freedom than do the other secretaries. They often exchange work when one is rushed and the other has little to do.

The KLM, NOP, and QR groups. These groups have been formed in the respective secretarial pools because the members are together constantly, share many common interests, and perform related duties. The people in these groups are at the bottom of the authority hierarchy. Secretary S is not included in the informal group with Q and R because she is an individualist who seems to prefer her own privacy over affiliation with the group. She is considerably older than Q and R and has a set of personal values that do not concur with those of the other secretaries. The people in the secretarial pools do not include their bosses in their informal ties, because they are somewhat skeptical of their bosses' authority. They are not convinced that the office managers continually act in their best interests.

The KLNOQR group. The secretaries who compose this group come from the secretarial pools, share many common interests, and take their coffee break at the same time together each day. Their informal group not only is active in the company cafeteria but also spends time on the phone chatting with one another during work hours.

The MPS group. The workers in this group stay in their work departments while the others are out to coffee, then go to coffee together when the other secretaries have returned. Like the KLNOQR group, they share common interests, responsibilities, and coffee breaks. Secretary S, who is normally a loner, does participate in this informal group in a moderate way.

FIGURE 5.1. Informal Organizational Relationships Among Office and Secretarial Personnel

Informal groups and their members

DEH

FGI

IJ

FG

MPS

KLM

NOP

KLNOQR

QR
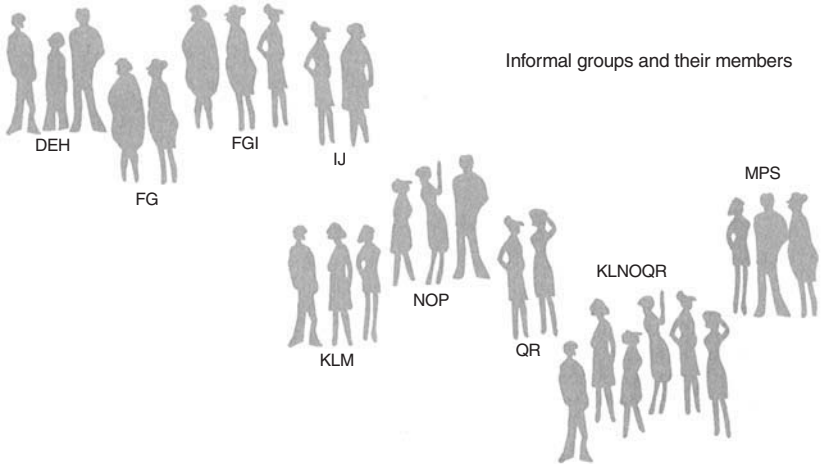
Functions of Informal Organizations

The informal organization exists to fulfill specific needs of the group and its members. It is the informal organization that many employees turn to for social affiliation and support.[5] The informal organization frequently is seen as a source of protection against threatening, oppressive forces. It was this desire for protection during World War II that caused soldiers under heavy attack to "bunch up" and get close to one another even though the togetherness actually increased the danger to each individual.[6] The point is, people are attracted to one another, especially under pressure. In the work organization, for example, members might bind themselves together to protect against the dangerously autocratic boss.[7]

The informal organization, through its grapevine, is looked to for useful information and knowledge. A large percentage of the day-to-day communication received by most workers is from the grapevine. The grapevine is the informal communication network that knows no boundaries and cuts across all lines of authority.

The informal group may also seek to further preserve important values by demanding that members conform to group standards. Another important action of the informal organization is its involvement in helping members to find solutions to mutual and personal problems. As seen in the United Manufacturing illustration, the informal pact between office manager F and office manager G existed specifically to provide the two with a mutual

exchange of ideas and assistance. Also, the informal ties between secretary I and secretary J revealed a concern for mutual help and support when job demands became too great.

The informal organization provides leadership to members in addition to what the formal structure provides. The informal organization does, therefore, serve a number of purposes for those individuals who desire membership and who are accepted into the group's ranks.[8]

Characteristics and Activities

Several things are noteworthy concerning the composition and behavior of the informal organization. The designs and actions of the informal organization have the capacity to be either supportive or detrimental to the goals of the formal organization. Look again at the chapter opening case, for example. The organization chart for Audio Electronics would undoubtedly show that there is no reporting relationship between the three night custodians and the security guard. But a very important informal relationship exists—and we can certainly say it is a detrimental one. What would cause the relationship we see in this case?

The informal organization exists to provide rewards, protection, and the preservation of members' values, among other things, for employees. Formal and informal goals may be complementary if the members of the informal organization perceive benefits from working in a unified way with the formal structure. For example, if working together might save the informal group's jobs, the informal group would be cooperative. If, however, it seems beneficial to work in opposition of the formal structure, the informal group has the capacity to do so. Such might be the case if the informal group were to cut back on production to protest an undesirable formal action.

Membership in an informal group is a selective process in which individuals are granted membership primarily on the basis of commonality of interests and willingness to be cooperative and to accept the group's values and norms. Individuals may have overlapping memberships in a number of informal groups, depending upon the frequency of contacts, the mutual interests shared, and other factors. In the United Manufacturing illustration, several of the people were members of at least two informal groupings, and some had the potential for belonging to even more (see Figure 5.2).

Informal groups select individuals to serve as leaders. The selected leaders are granted authority by the members to make decisions, take action, seek conformity, or take other steps that seem appropriate. The leaders are selected on the basis of their ability to perform for the informal group and usually are not individuals who possess a great amount of formal authority. In other words, their authority to serve as leaders is granted to them by their fellow members to fill a need. The leaders are expected to act in a way that achieves the goals of the group and protects the group's values. Informal

FIGURE 5.2. Illustration of Overlapping Membership in Informal Groups at United Manufacturing Company
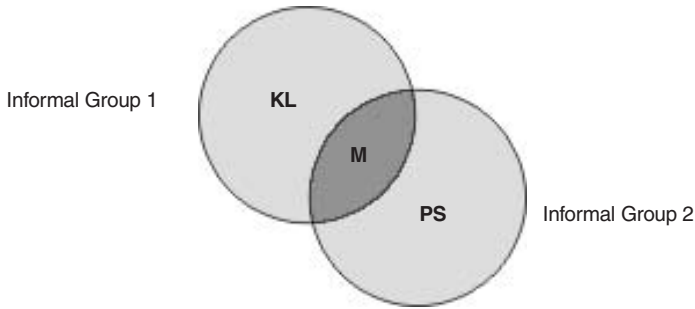
Secretary M belongs to these two informal groups simultaneously.

leaders often are selected on the basis of respect, admiration, and the ability to perform advantageously for the benefit of the group. Some authors call informal leaders "stars"—individuals who are able to influence other members and are the center of much communication.[9]

Quite often, a group may select numerous individuals to serve in specific leadership capacities. Leader A, for example, may be accepted as the production leader—the individual who sets and regulates the work pace (production standards, time standards, etc.) to which all members are expected to conform. Leader B may be expected to serve as the leader in charge of social and personal satisfaction. The leadership in this situation is in charge of making work relationships pleasant and happy. Leader C may be selected as the public relations leader (sometimes called the liaison). This leader's role is to represent the group in all verbal contracts with outsiders—supervisors, inspectors, and public visitors. Other leaders may be selected to serve in additional capacities. Many of these roles may be combined and assigned to a single individual. Of course, interest in the group plays a big part in who serves in what role in the group.

Informal Group Norms

Each informal group characteristically establishes group behavior standards or norms to which members are expected to conform. Norms are designed "to regulate and regularize group members' behavior."[10] Typically, norms are not written down or even discussed openly. They do, however, serve as a powerful, consistent influence on members' behavior. Norms are important for a number of reasons. They facilitate survival of the group and the pursuit of the group's goals. They simplify or make more predictable the behavior that is expected of members. Norms help the group to avoid embarrassing interpersonal problems. They express the central values of the

group and clarify what is distinctive about the group's identity. Refer to the chapter opening case again. What norms have developed among the three night custodians?

Norms generally are developed only for behaviors that are viewed as important by most of the group's members. If, for example, the goals of the group are to provide a pleasant, enjoyable workplace for its members (to resist pressures for too much work or to fight back against rigid work controls), the group may establish maximum and minimum production standards. The standards may take the form of units produced, sales quotas achieved, or time required to do a certain job. To remain a member in good standing, each worker must adhere to the production guidelines. If a group working on an assembly-line job sets a maximum of 100 units assembled per day and a minimum of seventy-five units per day, workers who consistently exceed 100 units will be ostracized and eventually removed from the group if they fail to modify their behavior. The nonconformer is seen as a threat to the values of the rest of the group. The worker who frequently goes below the minimum seventy-five units will be pushed by the group to improve performance to avoid penalties to self (and perhaps to the whole group).

The informal group may also establish behavior norms in other areas. Reaction norms, which may be defined as prescribed ways of acting when outsiders are around, may also be outlined. If a "big boss" (an influential and authoritative manager) is near, every worker is expected to look busy to avoid getting into trouble. If a time-and-motion-study person is around, everyone is expected to perform at a somewhat slower pace so that unreasonable time standards can be avoided. If a threatening company inspector is on the premises, everything is to be made shipshape for the inspector's review. Through these actions, desirable conditions can be ensured and penalties avoided.

The group can also establish norms and patterns to enhance its social interaction and affiliation through similarities of hairstyle and dress. The wearing of coats and ties, for example, may be begun by male members of an informal group in a sales force to provide group identification and to build status and prestige.

Norms usually develop gradually as the members of a group adapt to one another. It is possible, however, to cut short the development for things that are extremely important, for example, when a major change occurs, such as the sudden introduction of an outsider. Norms apply only to behavior—not to private thoughts and feelings. Norms do not always apply equally to every group member.[11] In other words, some people have a higher degree of independence from group norms than do others.

The degree of independence a person has from the norms of a group depends upon a number of things. For example, people who have lower levels of the affiliation need will be more independent of a group norm than will those high in the affiliation need. Low-affiliation individuals are simply less concerned about

losing membership and acceptance by the group than are those who strongly need to belong to the group. Some norms do not lend themselves to enforcement as much as do others, because fewer standards exist that can be applied to measure conformity. Also, the prestige and power wielded by an individual influence the individual's independence from a norm. High-prestige, powerful individuals naturally have more freedom than do their opposites.[12]

Group Cohesiveness

Cohesiveness is the strength of the feeling of unity group members have for the group as a whole and for the other people in the group. It has also been defined as "the attraction the work group has for its members."[13] Cohesiveness is important because only cohesive groups are strong enough to enforce norms. A less cohesive group may attempt to get members to follow norms but may not be able to do so. The level of cohesiveness appears to vary significantly among informal work groups. Some groups seem to be tightly bound together for mutual support. Conformity to group standards and norms tends to be high among such groups. Other groups appear to have only limited control and conformity. Cohesiveness seems to be higher when a majority of the following conditions apply:

1. The members have a broad general agreement concerning the goals and objectives the informal group will serve.
2. There is a significant amount of communication and interaction among the participating members.[14]
3. There is a satisfactory level of homogeneity (similarity) in social status and social background among the members.[15]
4. Members are allowed to participate fully and directly in the determination of group standards.
5. The size of the group is sufficient for interaction but is not too large to limit personal attention.
6. The members have a high regard for their fellow members.
7. The members feel a strong need for the mutual benefits and protection the group appears to offer.
8. The group is experiencing success in the achievement of its goals and in the protection of important values.

The level of cohesiveness appears to have a direct influence upon the behavior of the members of each informal group. For example, in groups where cohesiveness is high, members appear to be more attentive to one another, adherence to group goals is at a high level, pressure on violators of group goals is strong, and individual members find a strong sense of security and release from tensions as a result of their group affiliations.

Cohesiveness, of course, does not always have positive effects on group members. There is a tendency for highly cohesive groups to reject ideas and thoughts that come from individuals who express different opinions. This is how the groupthink phenomenon gets started. There is no guarantee that the norms of the highly cohesive group will be supportive of the formal organization. When this occurs, the efforts of the cohesive groups can be very harmful and counterproductive.

What can you do, as a manager, when group norms become counterproductive? The key is getting the group to put pressure on members to do what's wanted. In many situations, group pressure is far more effective than pressure from management in getting things turned around. But how do you do that in a situation where the group itself doesn't trust management or support its goals? That's where managerial skill comes in. As an example, here's how a manager we know handled a sticky situation.

Cathy was an experienced manager who worked for a large utility company. She was transferred to a new location and was told that help was needed desperately. And it was—productivity was far lower than at any other location. The employees involved were a group of thirty or so construction workers supervised by two foremen. The jobs were routine construction work connected with the utility's operations and involved laying cable and pipe. Because of the routine nature of the work, the foremen could accurately schedule times for each job. The only trouble was that most jobs, especially in the mornings, had enormous overruns—some taking as much as three times the estimate for completion. It was no wonder productivity was the lowest in the company.

The employees themselves formed a close group. In particular, they shared common interests in after-work sports activities such as hunting and bowling. As soon as work was over, they would go off as a group to enjoy one or the other of their favorite sports. They were all members of the union, and the union's strength made discipline difficult at best. Cathy explained that she first met with the foremen to try to determine the trouble. The foremen were completely frustrated and asked Cathy to come to the work center the next morning to see for herself. The next morning at the work center, Cathy found the workers loading equipment into their trucks. The foremen met with each worker—or, in some cases, pairs of workers—and gave the workers their first job assignment. As each job was given out, the workers jumped into their trucks and set off. After the last worker left, the foreman said, "Come on quick and hop in my truck. We've got to chase them!" When Cathy asked why, the foreman told her that the workers weren't really going to their jobs. In fact, what actually happened was that each evening they arranged to start the next day with an hour-long coffee break where they relaxed and made plans for sports that evening. The spot changed each day, so

the foremen couldn't find them. The foremen, in turn, tried to chase and catch them. In effect, what was going on was a version of hide and seek.

Naturally, we were intrigued. Cathy was up against a bad situation. Notice that she was dealing with a cohesive group. Just look back at the list of conditions for a cohesive group that we talked about earlier. Nearly all of them apply. The problem, of course, was the group norms, which supported socializing—not working. We were surprised when Cathy told us that she had productivity up to and above standard the next day. "What did you do?" we asked. Cathy explained,

> Well, I began by calling a group meeting for the next morning. When everyone had assembled, I told them that the rules had changed. From now on, the foremen would give the workers their full day's assignments in the morning. The assignments would be made based on the standard times provided by the company. But everyone knew that the times had a little extra built into them, and if you really pushed you could finish them early and still do a quality job. So I explained that if they could get their day's work done early, even by 2:30 or 3:00, they could leave for their sports activities and we'd pay them for the full eight-hour shift. The only stipulation was that they had to keep quality up. The foremen would stop chasing them but would spot check their completed jobs for quality. The workers jumped on the ideas and they were able to leave early nearly every day. In fact, if anyone tried to slack off, they really put the pressure on. It got the job done. They got their sports activities. We were all winners in that one!

The key here is that a way has to be found that makes the informal group want to meet management's goals. It takes some thought, but it can be done.

Grapevine Communication

An especially important means of achieving many of the goals and objectives of the informal organization is the development of its own communication network. The informal network is commonly known as the grapevine and is uninhibited by the formal communication networks. Messages are spread by the grapevine to members by word of mouth or by other means. Anything that seems to have interest or value may be transmitted through the informal network. Who's to be hired, who's to be fired, and other changes, for example, often move quickly throughout the grapevine. Seldom does the grapevine network operate in a rigidly defined pattern. Information may originate anywhere in the system and will be spread in a sometimes unpredictable manner. It has been suggested, however, that the cluster approach is the most frequently observable manner by which grapevine messages are passed along.[16] With the cluster approach, a message is communicated by an originator to two

FIGURE 5.3. Cluster Pattern of Grapevine
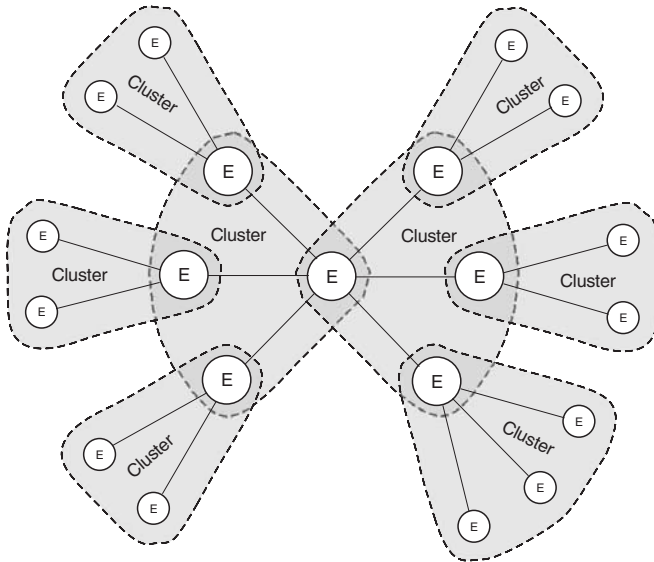
or three others who do the same thing. The result is a sort of ripple effect as the message is spread (see Figure 5.3).

Grapevine messages tend to be passed along rapidly and more selectively than many people expect. The grapevine may withhold or retard the passage of information to some individuals. The basis of withholding grapevine information may be the fact that the excluded individual lacks acceptable standing with the informal organization. The communication avoidance may also be a problem of lack of physical proximity (nearness) when messages are being passed along. For example, workers who labor in isolated areas often find themselves ignored or communicated to more slowly than workers in exposed positions. Grapevines tend to be accurate as much as 75 percent to 95 percent of the time. The levels of the grapevine's activity normally parallel those of the formal structure. The grapevine spreads only the information that people are interested in hearing.[17]

The informal organization acts similarly to a social fraternity in the sense that it develops secret codes through which it communicates. To the outsider or the uninformed, the codes will have little significance. To the informal group members, however, the symbols have important meaning. A college student employed part-time in a manufacturing position reported that the

work group in his department protected itself from outsiders with a novel system in which a certain worker who sat near the workroom's entrance was appointed the "warning" leader. It was his job to keep an eye on the door for the approach of individuals who might be threatening to the welfare of the group. If he spotted someone approaching who appeared to be dangerous, it was the warner's job to step on a foot pedal that released a blast of steam through a boiler valve. The steam blast was a warning to the other workers to be cautious because a possible enemy was entering. The warning system became even more sophisticated: one "toot" on the boiler meant the boss was coming; two "toots" meant that a production expediter was in view, and so forth.

The returning prisoners of war from the Vietnam conflict apparently developed their own communication symbols. One of the first men released referred to the times in which the group's morale would get low. He said that someone would then begin humming the melody to "California, Here I Come." The tune, which was unknown to their captors, reminded the men that someday their imprisonment would be over and they would be returning home. The pleasant thought gave the men the encouragement needed to get through a bad time, and morale perked up accordingly.

These illustrations both show the importance of informal groups and their use of the grapevine to the individuals involved.

MANAGEMENT'S RELATIONSHIP
TO THE INFORMAL ORGANIZATION

As previously discussed, the informal organization has goals, objectives, and methods of operation designed to benefit its members. These functions may or may not be beneficial to the formal organization, and they are not completely within the control of the formal structure. In this rather confusing state of affairs, a justifiable question seems to be, "How should the manager, with formally designated responsibility and authority, go about the task of confronting the informal organization and working with it?"

One concept to keep in mind concerning the informal organization is that it serves many useful purposes for its members. It usually provides a satisfactory amount of social affiliation and interaction as well as information to workers rapidly and, in many cases, it works accurately. The informal organization is capable of controlling or influencing the behavior of its members if their actions become so far out of line with formal organizational expectations that they tend to create problems and dangers for the informal group. In many cases, the informal group even works to support and achieve formal goals and objectives that are in harmony with informal ones. Since the informal group is capable of performing for its members many positive, constructive tasks that are desirable from the formal point of view, the group

should be permitted and encouraged to perform these supportive functions. In meeting personal and group needs and in regulating worker behavior constructively, the informal organization can be a very helpful auxiliary to the formal manager.

Situations exist, however, in which the actions of the informal group are in opposition to formal goals and objectives and the behavior of individual members is detrimental to constructive organizational achievement. In Cathy's case, there is a similar situation. If the workers have established lower production standards than are reasonable, if coffee breaks are being abused collectively, if legitimate supervisory instructions are being ignored, etc., the managerial task of working with the informal group becomes more complex.

The goal of every manager should be to unify the actions and efforts of the informal organization with those of the formal organization whenever possible. In addition, the manager usually wants to replace attitudes of hostility with those of trust and confidence. The existence of a set of positive conditions helps to unify the efforts and actions of formal and informal structures and to make them mutually more beneficial. In general, the two systems pull together more favorably under the following conditions:

1. *The workers have a high level of confidence in their boss and believe that the boss consistently considers their needs and desires as decisions are made.* This kind of confidence tends to build over a period of time as a manager's actions are discerned to be fair, considerate, and favorably oriented toward the worker. Usually, the more positive leadership styles (such as those of participative or free-rein leadership) build confidence more than do negatively oriented styles (autocratic leadership, etc.).

2. *The workers know, understand, and accept the objectives of the formal organization.* This condition calls for the communication of formal objectives to workers in clear, simplified terminology. If the objectives are reasonable and consistent with the values of the informal group, there will be general support of the goals. If the goals appear unreasonable, the workers may not support them. Normally, however, acceptance of reasonable goals can be attained.

3. *The workers are allowed some participation in the determination of formal goals, objectives, and policies.* This condition does not mean that every worker must be involved in every decision, but it does mean that some type of representation in matters that affect the workers will increase confidence and support for the decision or plan. Participation tends to increase confidence and support for the decision reached and reduces antagonism or mistrust. Workers tend to support decisions they help make.

4. *The workers are kept informed regularly and accurately concerning facts and policies of interest to them.* Workers receive the information

needed through formal channels so that speculation and rumors become unnecessary.

5. *The formal leaders (managers) listen for and seek the feelings and sentiments of the workers.*

When it is difficult for a formal manager to listen to every worker, to get participation from everyone, and to send messages directly to everyone, the identification and utilization of the informal leaders as representatives of the group may be effective. These leaders usually feel a great amount of responsibility for the well-being of their peers and perform conscientiously for them. The informal leader can serve in a capacity that will be beneficial for the group and can at the same time be of assistance to the formal manager through participation in decision making and the communication upward of important messages.

POWER: FOR MANAGERS ONLY?
A DIRTY WORD?

One aspect of the informal organization that managers do not always expressly recognize is the role of power and politics in the functioning of the organization. Many students—and often many managers as well—naively believe that managers are the people in organizations who have the power to "make things happen," and that those who are not managers lack such power. In fact, nothing could be farther from the truth. We now move to an exploration of how power and political processes operate in the organizational setting and to consider what it is that managers need to know about power and politics and how to make these processes work for them.

Before we begin, one word of caution may be helpful. Many people act as if discussion of power and politics in the workplace involves something "disreputable" or even unethical. Usually such beliefs are largely unfounded. After all, the managerial job involves getting others to work toward organizational goals and objectives, and use of power is a part of getting the job done. Moreover, political processes are found wherever human beings work in groups, and they are certainly an inevitable part of any organizational setting. It is not unusual to hear others say that they ". . . hate politics and don't want to get involved." In most organizations, however, avoiding politics is literally impossible. Instead, for managers, it is more important to be able to recognize situations where the political situation is working in an unhealthy manner and to take steps to either change the situation or get out of it. Further, it is equally important for the manager to acquire skills that will permit constructive use of the organization's political system.

French and Raven's Theory

We turn next to the issue of power. Think of power as the capacity to control or influence decisions or happenings. Do only managers have it? Not so, contends one of the most insightful theories on how power operates in the organizational setting—French and Raven's theory of power.[18] These authors suggest that, in reality, there are five sources of power (in the sense of ways of possessing or obtaining power) which are potentially available to anyone in the organizational setting. We consider each—and the related issues—in turn:

1. *Reward power* is the ability to give an award to another individual when that person does what is expected. Most people think of reward power as being something only managers can have. After all, managers typically have control over financial incentives, promotions, bonuses, and the like. But it is often surprising how much power people who are not managers have to reward, as well. What about the boss's secretary who can "smooth the way" for some people to get the boss's ear, while making it much harder for others to get through? Or what about the administrative assistant who is available to help one individual to add special touches to an important PowerPoint presentation while others must fend for themselves? The important point here is that each individual should take the time to think specifics: exactly what rewards does that individual have to offer others? And are the rewards being used effectively? The rewards should be given to those who do as expected—not to everyone indiscriminately.

2. *Coercive power* is, in a real sense, the "flip" side of reward power. It is the right to punish those who do not do as expected. Of course, it is hoped, especially in the organizational setting, that punishment does not involve physical punishment. But there are plenty of other punishments available. Managers may suspend employees, dock their pay, give unsatisfactory performance appraisals, or criticize their work, to give just a few examples. Those who are not managers have ways to exercise coercive power, as well. The administrative assistant who "misplaces" or delays the processing of a request for an employee's new computer, the secretary who "just isn't able" to schedule a badly needed meeting with the boss, and the programmer who can't start work on your project for another month may well be using their coercive power. As with reward power, the key is that individuals need to think about the coercive power available to them and to be prepared to use it when necessary.

3. *Legitimate power* is the source of power which comes closest to formal authority. It centers upon others' beliefs that an individual has the right to expect them to obey because of that person's position in the organization. Managers can typically count upon having legitimate power as a result of their positions, but to some extent, others may have legitimate power as well. The instructions of the police officer at the scene of a traffic accident,

for example, are followed because the officer's uniform and "official capacity" lead others to believe that this person has a right to expect obedience (of course, the fact that the officer has lots of coercive power doesn't hurt, either). In organizations, individuals who are serving on high-profile committees or task forces and those who are known to work closely with managers who have legitimate power (such as the manager's trusted assistant) may acquire a degree of legitimate power, as well.

4. *Referent power* comes from the attraction of others to an individual whom they admire and wish to emulate. In cases of strong referent power, others find that individual so attractive and admirable that they will do whatever it takes to please that person. The emphasis, therefore, is upon the interpersonal relationship between the referent individual and the follower, with the follower's actions designed to maintain the approval of the referent person. Of course, such relationships can be negative and destructive, especially where the referent individual misuses this source of power. Examples such as Adolph Hitler and various cult leaders may come to mind. In contrast, many political and religious leaders have made inspiring and constructive use of referent power. Many people would include Kennedy and Reagan among politicians with referent power, and another group of very different but inspiring referent leaders might include Golda Meier, Martin Luther King Jr., and Mahatma Gandhi. In many cases, it is more difficult to think of referent leaders in business. In large part, this difference may be due to the traditional reliance, in business settings, on rationality rather than upon the emotional appeal, which appears to be part of the referent relationship. More recently, however, there has been increasing recognition of the need for leadership of this sort during times of great organizational challenge, and especially where there is need to change the organization.

5. *Expert power* comes from others' respect for an individual's expertise in a given area. In effect, if others believe that one person knows more about a subject than they do, they will defer to that individual's superior knowledge in that area. Often, for example, staff members in organizations rely upon expert power to get action on their ideas. A human resources staff person may tell a manager that suspending a problem employee is not a good idea unless the employee has received additional training. If the manager—who does not report to the staff person—agrees to give training rather than a suspension, the manager has responded to the staff member's expert power. The computer experts in an organization may be able to convince top management that a sizeable investment in the latest equipment is justified by relying upon management's belief in their expertise. Of course, expert power can be misused, as well. Individuals whose expertise is respected in one area may try to convince others that their knowledge "stretches" to other areas. Marketeers, recognizing the efficacy of expert power, may try to use it inappropriately, as well. Some will remember that several years back a tele-

vision star, who had played a compassionate doctor in a long-running soap opera, was featured as a doctor in a commercial for a name brand of aspirin. Although many doubted the actor's expertise in advising on the product—given that he wasn't really a doctor—others flocked to buy it, based upon "the doctor's" recommendation. Do things like that still happen? How about the recent commercials featuring well-known sports figures advertising athletic shoes or sportswear?

Power Issues

This discussion points to several issues of importance to managers when considering sources of power. First, and worth reemphasizing, power is by no means confined to managers alone. Instead, various kinds of power may be found throughout the informal organization, and the informal organization often serves to spread the news about who has what kinds of power. As an example, suppose there are several shipping clerks in an organization. However, everyone always brings the most difficult shipping problems to Elaine Smith. When others ask why, the explanation is "Elaine really knows what she's doing." In effect, Elaine has expert power in the area of shipping, and everyone relies on her advice when a shipping problem occurs. As word gets around, others too will start bringing their shipping problems primarily to Elaine. The net effect—and this happens all too often in organizations—may be that Elaine's expert power may grow, but she may become totally overworked as the organization brings all of its shipping problems to her! It is important that management recognizes and rewards those such as Elaine, whose expertise helps the organization run more smoothly. Otherwise, these workers may feel exploited and believe that those less expert than they are being "rewarded" by getting a lighter workload.

Another issue centers upon this frequently asked question: "What's the best source of power?" Wrong question—in fact, the sources of power aren't mutually exclusive, and individuals in organizations are well advised to work hard to acquire as many sources of power as possible. However, the sources of power do differ in what can be described as their "breadth." Referent power is broadest in its application, extending to virtually all facets of the other person's life. Moreover, it can be a source of control even when the referent individual is not present. But it may be greeted with skepticism in organizations whose cultures value rationality rather than emotional appeal.

In contrast, reward and coercive power are generally described as the narrowest sources of power. They are limited to what can be rewarded and punished—and often to what can be observed. Where the informal organization has norms that run counter to management's expectations, this narrowness may become a problem. In one manufacturing organization, the informal organization distrusted management and did not accept management's production standards. Production would stay at standard—just barely—as long

as management was watching, rewarding good work, and punishing poor work. But whenever the managers were called away or had their backs turned, production would plummet as workers took unauthorized breaks or generally goofed off.

Like reward and coercive power, legitimate and expert power are also limited. As noted, expert power is limited by the beliefs of others in the expertise of the individual claiming the expert power. Unfortunately, many individuals who really do have expertise are not recognized as the experts they really are. Often, and unfortunately, younger, highly educated staff members may be dismissed as "just smart-aleck kids" by older, more senior managers who lack the younger managers' training. Equally unfortunate, organizations typically have talented employees with great stores of knowledge whose ideas go unheard. Often, the problem is that the employees in question are low in assertiveness or lack confidence in their ability to sell their ideas. As a result, their expertise goes unrecognized and the organization is the loser. When asked, these individuals will often say, "If they wanted to know, they would ask." Wrong again—being willing to stand up for good ideas and to get them recognized is a responsibility of every organizational member.

Finally, legitimate power is limited by what the subordinate believes to be the limits of the manager's authority. Basically, if the subordinate believes that the manager has the right to give the order or, following the ideas of the well-known theorists Chester Barnard[19] and Herbert Simon,[20] if the order falls within the manager's "zone of authority," it will be accepted. Conversely, if the subordinate does not believe that the manager has the right to give the order (it falls outside the zone of authority), it is unlikely that the subordinate will comply. Martin, a receiving clerk, may, for example, believe that Sally, his boss, has the right to give him orders about how to stamp the packages he receives, and he will comply. But it's unlikely that he believes that she has the right to order him to walk her dog after work, and he will probably not obey an order to do so (unless she has a great deal of coercive power). It is especially interesting to notice what happens when the manager's and the subordinate's notions about the zone of authority differ. One of the authors recently received a telephone call from a distraught manager who remarked that "Women have gone crazy!" When asked to explain why he felt that way, the manager explained that Nellie, his secretary for over thirty years, had recently retired. "She was a wonderful secretary," the manager explained. "She knew just how I liked my coffee and kept great track of the wife and kids' birthdays and knew just what to get them." In Nellie's place had come Suzy, a recent graduate of a well-regarded administrative assistant program, where she had been recognized for her outstanding computer skills. "All I did was to buzz her at her desk and ask her to make my coffee and to go shopping for my wife," continued the hapless

manager, "when she stormed into my office, dumped the coffee down my neck, and resigned on the spot. She must be crazy!" We obviously are looking at a case in which zones of authority are in conflict.

Overall, an interesting thought is that it is the other person's beliefs, and not necessarily "reality," that determines how much power an individual has. If others believe that an individual is expert in an area or is acting within his or her zone of authority or has the power to reward or punish, that person will have relatively more power when compared to those for whom such beliefs are lacking. What is implied, then, is that it is important for individuals in organizations to sell themselves and to insure that others are kept constantly aware of the power they have.

Politics and Selling Yourself

Just as the naive idea that it is possible to "stay away from" organizational politics is sometimes encountered, it is equally typical to find people in organizations who feel that selling yourself and your ideas is something which ethical managers should avoid. "Oh, I'd be embarrassed to do that," or "That's just the kind of brownnosing I hate most!" are some ways it's often put. Yet the same people, if pressed, will often admit that the people whose ideas get recognized—and who move ahead most rapidly in organizations—are precisely the individuals who have learned the art of selling themselves. It is important to recognize that selling oneself need not be a tactic used only by shallow, superficial individuals or by those whose concern is to advance their own interests at the expense of others. In fact, it is surprising how individuals who practice the manipulative tactics of self-selling—which have been referred to as Machiavellian (after the early theorist Niccolo Machiavelli, whose book, *The Prince,* is often considered the original "how to" source on manipulation)[21]—see their careers derail as others come to see through their tactics. In later chapters, assertive communication, win-win conflict handling skills, and adult-level transactional analysis techniques will be shown as ways to avoid degenerating into unhealthy self-sales tactics. For the moment, however, look briefly at the Self-Development Box where self-sales techniques widely practiced by managers who sell themselves effectively are shown.

Nonverbal Messages—Bluffer's Guide Style

We were amused recently at reading a tongue-in-cheek booklet professing to offer a series of helpful hints to those hoping to improve their political skills. Much of what is found in *Bluff Your Way in Office Politics* is offered in a lighthearted, humorous style, and much of it deals with a zany approach to

SELF-DEVELOPMENT BOX

Techniques to Use in All Communications and Especially with Bosses

- Respect yourself and others. There is nothing to be gained by "shooting holes" in someone else's idea. People who do that often come across as negativistic. Bosses may see them as people who can only criticize but who have no ideas of their own. It is sometimes good to acknowledge others' ideas and then, if you believe yours are better, to say why in objective terms ("I like Rodney's idea of . . . Perhaps we can add to it by also . . .").

- Be positive and enthusiastic. There is a virtual plague of negativism running throughout all too many of today's organizations. Bosses tell us that they often hate to ask subordinates how they're doing—from the bosses' perspective, all they get is complaints. Here's how one boss phrased it: "Well, I ran into Bill in the hall and made the mistake of asking him how things were going. Guess what he came back with? He said, 'Not bad, I guess; it's Friday.' Not only was he not even sure how he felt (Not bad, I guess?), but the only positive he could come up with was that it was Friday." Bill might say that he was "only joking" or that he didn't want to sound like a brownnoser, but the damage has been done and the boss is convinced that he doesn't care about the job. For a better approach, what might have happened at that same hall meeting would have been for Bill to look his boss in the eye, smile broadly, and respond, "Great! I'm really enjoying my work on the new project. I'm learning a lot, and I feel like I'm making a real contribution as well." What's surprising to us is how many people react to that last communication by saying, "Oh, I could *never* do that—I'd feel like a big phony." Those who learn to be enthusiastic come out miles ahead in organizational politics.

- Make sure nonverbal messages match verbal messages. Studies have made us increasingly aware of how important nonverbal messages such as body language, dress, eye contact, and even tone of voice and inflection can be, as consultants and authors emphasize, "dressing for success." Moreover, a recent emphasis in the academic study of leadership has centered upon attribution theory. Generally speaking, the attribution theory of leadership takes a unique approach to the study of leadership. "Perhaps we're asking the wrong question when we ask how leaders behave or what they're like," these theorists contend. "Instead, perhaps it should be assumed there's no such thing as leadership, and the appropriate question should be about what individuals do to convince others that they are leaders." There's a great deal of truth to these ideas. An especially important consideration is *consistency* between the verbal and the nonverbal message. A suggestion for Bill might be to point out that, as he delivers his verbal message ("Great! I'm really enjoying my work on the new project. I'm learning a lot and I feel like I'm making a real contribution as well."), his nonverbal messages (looking his boss in the eye, smiling broadly) were consistent and supported his verbal message. To consider how important this consistency is, consider what would have happened if Bill had delivered the same message without eye contact and in a sullen, listless manner. Unfortunately, the key is this—when the verbal and nonverbal messages are not consistent, others will most often believe the *nonverbal* and not the verbal message.

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- Use "I" messages. Generally, people respect others who are willing to let them know where they stand. The "I" message starts out like this: "Here's how I feel . . ." or "I suggest we consider . . ." or "I believe we should . . ." Avoid phrases such as "Don't you think we should . . ." What you really mean here is "I think we should . . ." and avoiding the "I" message comes across as manipulative to others.

- Don't fear feedback. It's the only way to learn—even when it isn't especially fun. One of the most common (and most *wrong*) comments we hear is this: "Well, I haven't heard anything about my performance lately, so I guess no news is good news." Is it? Unfortunately, often it's not. Those who are unhappy with your performance—and this applies to bosses as well—may avoid giving needed feedback for many reasons. Dislike of confrontation is an important one, for example. But that doesn't mean that their negative feelings aren't there—and you can't change those feelings if you don't know about them. The best approach is to ask for specific feedback on your work—both positive and negative—if you aren't getting it. A final pitfall is that when most people get negative feedback, they respond by "giving reasons" why things went wrong. This is a bad approach! When we give "reasons," bosses typically hear *excuses.* A better approach is to accept responsibility ("You're right, that was a blunder") and talk about how you plan to rectify the situation ("Here's what I suggest. Let's get sales involved and . . .").

Source: Adapted in part from Harold Koontz and Cyril O'Donnell, "Ten Commandments of Good Communication," *Management: A Book of Readings* (New York: McGraw-Hill, 1980), 565-566, originally reprinted by permission of the American Management Association.

nonverbal messages. But is it totally off the wall? Several suggestions based upon the Bluffer's Guide are found below.

- *Your office.* Begin with pictures and make sure you fill your walls with a wide variety of certificates. Don't have any? That is what those handy computer programs are for—make your own! Now, add signed pictures by an equally wide variety of well-known people. Don't have any of those either? Just send off to the celebrities' agents, requesting pictures. If they come back unsigned, sign them yourself, adding notes like "Let's do it again, soon!"

- *Your bookcase.* First of all, make sure you have a bookcase. Get one from the secondhand store, in a suitable dark wood, of course, and sneak it into your office at night, if necessary. Now, pack it with exotic and impossible-to-use sounding computer manuals *(Lisrel 8.0 for the Executive,* for example). Be sure to remove the wrap and muss them up a bit! Now, add a bunch of books—also from the secondhand store—on a dismayingly wide variety of topics *(Zen and the Art of Motorcycle Maintenance, Russian for the Executive,* and *Repairing Antique Juke-*

boxes, for example). If asked about your "interests," respond, "Don't even get me started on that one!"

- *Your car.* Of course, what you want is the current "designer" car—a Lexus, for example. Can't afford it? Consider buying a much older model and then making comments like, "I know I should turn this one in, but it's become like a member of the family!" Be sure to fill it with a wide variety of items like tapes on managing your stock holdings, several issues of *The New York Times,* and a map of the Paris subways. When asked about these "interests," respond, as usual, with, "Don't even get me started on that one!" or say, "You should see what's in the trunk!"[22]

Techniques to Use When in the Water with a Barracuda

The political situation that is most troublesome to people, we find, is what we term "being in the water with a barracuda." What does that mean? Well, real-life barracudas are pretty stupid, even for fish. What makes them dangerous is their programming: Barracudas will attack anything around them, especially if it's smaller, weak, or bleeding.[23] They will even attack if they aren't hungry; it's just their instinctive programming. Unfortunately, many organizations have them too. They are the people who seem to go out of their way to attack others, even when it's not necessary and especially when the other person shows what they believe to be signs of weakness. Notice that barracudas aren't necessarily people who simply disagree with your ideas. Anyone can do that for perfectly objective reasons. Instead, the barracuda is programmed to attack, regardless of "cause." And they may be smooth and charming in their demeanor—most of the time. (See the Personal Feedback test that follows for one instrument which helps to identify those with potentially barracuda-like tendencies.) What can be done when you find yourself in the water with one? Some tips follow:

- Fight to win. In later chapters, we will emphasize conflict-handling strategies that center upon listening to others' ideas and respecting their opinions—accommodation and collaboration strategies, especially. And those strategies are essential—but *not* with barracudas. Barracudas interpret interest in their ideas as weakness and will go on the attack. The only effective strategy with them is to go on the offensive.
- Recognize that barracudas don't have friendship networks. Recall that we talked earlier about how the informal organization can be visualized as a network of people who have various kinds of dealings with one another. Two of the most important kinds of networks in the informal organization are friendship networks and advice networks. Advice

networks relate closely to our discussion of expert power—they include the people a given individual trusts to give good advice in areas of expertise. Look at our earlier discussion of Elaine's expertise in shipping, for example. Friendship networks include those individuals with whom a given person shares friendship ties involving such emotional aspects as warmth and trust. Barracudas lack friendship networks because others don't like or trust them, and they don't like or trust others; there's simply no basis for friendship there. This simple fact can help in dealing with the barracuda because that person lacks all of the loyalty, trust, and inside information which flows through the friendship network. Use friendship network information to keep the barracuda off guard!

• Get the barracuda out of your section of the water. As we have discussed, this set of tactics flows directly from the barracuda's lack of a friendship network. The best barracuda containment tactic is to send the barracuda to some other part of the water, preferably to attack another barracuda. Most people wrongly assume that barracudas do, in fact, have friendship networks, but that those networks are with other barracudas. Not so; barracudas do not trust others under any circumstances, and other barracudas are no exception. At best, they form uneasy alliances with other barracudas, which can be readily broken down by a few carefully placed suggestions to the two barracudas that one is plotting against the other. Keep them busy fighting each other.[24]

PERSONAL FEEDBACK
Power and Politics Inventory

This self-test is designed to give you some feedback on your inclinations toward power and politics in the workplace. There are no right or wrong answers. Check whether you agree or disagree with each of the statements.

	Agree	Disagree
1. What the boss says is always right.	_____	_____
2. You can never have too many friends as you work.	_____	_____
3. Bosses should be told what they want to know not what they need to know.	_____	_____
4. Having friends in high places is very important to the average employee.	_____	_____
5. Employees should bond together to resist the demands of their bosses.	_____	_____
6. Status symbols (having corner offices, having a personal secretary, etc.) are factors that are important to most employees.	_____	_____

7. It is important to recognize and commend work associates when they perform well. _____ _____

8. It is important to criticize other employees' performances. _____ _____

9. Covering up one's mistakes is a very important thing to do. _____ _____

10. I sometimes give in to what other employees want so that sometimes they will let me have what I want. _____ _____

11. I sometimes do things with employees off the job in order to improve our relationship at work. _____ _____

12. People have to take care of themselves because nobody else will. _____ _____

13. When another employee makes a mistake, I make sure the boss knows about it. _____ _____

14. I want people around me to feel happy at work. _____ _____

15. When I have subordinates, I will try to "butter them up" to keep them happy. _____ _____

16. Putting other people down is sometimes necessary. _____ _____

17. I try to keep my skill levels high so that others will respect me. _____ _____

18. As I earn seniority, I expect to gain the rights and privileges that go with it. _____ _____

19. When I am a manager, I will encourage people to participate in making decisions even though I don't need their input. _____ _____

20. Bosses who want employees to follow their directions should keep their employees afraid of them. _____ _____

Add up the numbers of times you agreed with the statements that were made. The higher your score, the more interest you are showing in power and politics. If you agree with fifteen or more of the items, you are revealing a strong interest in power and politics in the workplace. If your score is between ten and fourteen, you are showing a moderate level of interest in power and politics. A score of five through nine indicates a little interest in power and politics at work. A score of four or less reveals no interest whatsoever in power and politics while working.

This test has been designed to give insight and to be thought provoking. It is nonvalidated but should be helpful.

SUMMARY

We have considered how organizational cultures and informal groups comprising the organizational culture operate and why they are important. Managers can enhance the culture of an organization in many ways. A manager who has the trust of the people in an organization will be more acceptable to individuals and groups. When formal organizational values are consistent with individual and group values expressed, acceptance of organizational goals is more likely. When participative techniques are used to get worker involvement, formal and informal norms are more likely to coincide. When employees are kept informed on issues that concern them, there will be less speculation and fewer rumors.

We have also looked at power and politics and how they operate in the organizational setting. We have contended, throughout our discussion, that power and organizational politics are realities, neither intrinsically good nor bad, and that managers in today's organizations must be prepared to deal with them in constructive ways. It's not always fun, and there is no suggestion that problems like dealing with barracudas are enjoyable. The reality is, however, that organizations and individuals in them must recognize how to use power and politics to move decisions forward and to get ideas acted upon. Skillful use of power and politics is an essential part of the tool kit of the modern manager.

QUESTIONS TO CONSIDER

1. Why does a cultural gap often develop in an organization? That is, why do individuals and groups within an organization often become counterproductive toward the goals of the formal organization?
2. Why do subcultures (informal groups) develop within the context of the culture of an organization?
3. Besides the functions mentioned in the chapter, what are some other purposes for the informal organization's existence?
4. What are some things the informal organization may do that are detrimental to the formal organization?
5. What kinds of qualifications may be required of an individual to be accepted as a member of a group?
6. What happens when individuals find themselves isolated from an informal group? Can they find a way to belong to the group? If so, how?
7. Do you have to want to belong to an informal group to be a member?
8. How can the grapevine be constructively utilized by formal managers (or can they)?
9. What should a manager do who discovers that the grapevine is spreading rumors that turn out to be false?
10. Is it ethical to give employees only selected information in order to manipulate their thinking?
11. Is it ethical for employees to withhold important information from their bosses if it benefits the employees?
12. Is it possible to use power in an ethical way?
13. Give at least one example of an individual known to you with more than one source of power.
14. A well-known actress is growing older and is featured in a television commercial dealing with products for the elderly. What source of power is the actress attempting to use in selling the products?
15. Recently, Americans were shocked by cult incidents such as the "Heaven's Gate" massacre. What source(s) of power were the cult leaders using?

16. Can organizational politics be used in an ethical manner?
17. Why would a subordinate need to take action to sell ideas to management and others? Shouldn't those individuals be looking for new ideas?
18. Rodney has made a mistake and the boss has heard about it. The boss calls Rodney to ask what is going on. Rodney responds that the problem isn't his fault—production caused it. Has Rodney made a political error? Why or why not? What advice would you offer to Rodney?
19. Elaine gets word through her friendship network that a barracuda is after her and intends to embarrass her in an important meeting. What advice would you offer Elaine?
20. After the meeting, Elaine is pondering how to get the barracuda out of her section of the water. What advice would you offer her?

Please go back to the case at the beginning of the chapter and answer the questions asked there.

CHAPTER CASE:
MARLEY PRINTING COMPANY

Upon graduation, you go to work for Marley Printing Company, a locally based firm that provides all sorts of printing services to individuals and organizations. Your new boss will be Bob Marley, the son of the founder. Bob took over control of the firm several years ago upon his father's retirement and not too many years after his own graduation from college. He's known as a dynamic leader, and in the years since his arrival, Marley Printing has nearly tripled in size. You're told that it bears no resemblance to the sleepy, slow-moving, and rigid firm that Bob took over. You're anxious to work for Bob because you believe you can learn a lot—and furthermore, you're determined to keep your eyes open and to ask enough questions to ensure that you do learn.

You soon learn that Bob has considerable concern for his workers. One day Bob confides to you that he's particularly worried about the development of two groups of employees—the receivers and the boxers. "The rest of the groups in our organization are really catching hold—getting excited about their jobs and really participating," he explains, "but those two groups simply aren't turned on. Their productivity is low; their turnover is high. They simply aren't interested." You ask about what their jobs consist of. "Well," Bob continues, "they certainly aren't that exciting, I'll grant you. The receivers receive incoming shipments of materials—paper of all kinds, ink, and similar things, and stack them wherever management says to put them. The boxers box our finished product—printed materials of all kinds—and place them in a pickup area for delivery. The thing is that we offer jobs to people with really low educational backgrounds—this is the only job most of them

could get—and they could move ahead in an organization like this if they'd show some initiative. I keep hearing about redesigning jobs. I wonder if that would help." You offer to look into the possibility and report back. The conversation about the two groups continues.

"The thing I really don't understand," Bob questions, "is why receivers and boxers don't encourage their fellow employees who show promise. Take Mable Hastings; we recently hired her into the receiving group, and I was really hopeful that we'd found the kind of worker we were looking for. At first, she asked to learn new things and volunteered to work at other stations. Then suddenly she stopped. It's almost like she's afraid to show initiative. I just don't understand it."

Case Question

1. You suspect that problems such as the one Bob described involving Mable may have something to do with group functioning. What are norms and cohesiveness, and how do they enter in? What should be done in a situation like this?

GLOSSARY

barracuda: A term used for an individual (not a fish) who has neither friends nor allies, and insists on fighting whoever and whatever comes along. The barracuda is by nature combative.

cluster approach: The technique most frequently used by the grapevine (informal communication network) in which one person tells a few others (one cluster) and each subsequent person tells a few other members, forming additional clusters.

coercive power: The right to dominate people or things based upon the ability to give out undesirable reinforcements.

cohesiveness: The degree of strength or attractiveness a group has for its members. Where members find their group to be highly attractive, the cohesiveness level is said to be high.

conformity: The acceptance of group values and norms to the point that behavior is consistent with group directives.

expert power: Respect earned by an individual based upon the possession of supervisor skills, knowledge, or abilities.

grapevine: The informal communication network through which information is spread.

informal work organizations: The unplanned groups that develop spontaneously as workers interact. Sets of relationships not bound by formal authority that provide important support and fulfillment of needs for members.

legitimate power: The right to dominate and control based upon an offered role or position held.

referent power: The ability to dominate others based upon attractiveness such that the persons dominated want to be associated with the power holder on a continuing basis even when the cost is heavy.

reward power: The right to dominate people or things as a result of control over desirable reinforcements.

stars (informal leaders): Individuals who frequently are the center of much communication.

zone of authority: A range of duties and responsibilities an employee feels that a supervisor has the right to ask for and to receive good performance for. Things asked for that fit this zone are readily accepted and performed. Directives and requests falling outside the zone may be rejected.

Chapter 6

What Good Are Groups, Anyway?

OBJECTIVES

- To learn how and why groups make decisions
- To become acquainted with decision-making techniques
- To discern advantages of group-versus-individual decision making
- To spot problem areas in group decision making
- To discover why groupthink occurs and how it can be managed most effectively (and avoided)
- To become familiar with some of the newer procedures suggested as creative decision methods
- To identify how and why quality circles function
- To become knowledgeable about methods for team building

A CASE TO CONSIDER:
O'KEEFE—THE DIRECTOR
WHO WANTS A GROUP DECISION

Arlin O'Keefe is director of the eastern district of the state highway department. He has under his jurisdiction all of the state highways and state-maintained roads in a twelve-county region, and he reports directly to the deputy director of the state highway department. It is O'Keefe's responsibility to see that the district is maintained satisfactorily and to make recommendations concerning the construction of new roads, bridges, and other highway structures in the district.

To make his job more manageable, O'Keefe has divided his district into three subdistricts, each comprising four counties. He has put three of his assistants in charge of the subdistricts, one to each subdistrict, and has given them the title of assistant district director. Each assistant director is respon-

sible for supervising the construction and maintenance activities in his or her own subdistrict.

One of O'Keefe's major responsibilities is to determine priorities for new construction projects. Resources are given to the most urgent projects; there is never enough money to do everything that is needed. This year, for example, O'Keefe has been told that his district will receive $46 million, and he knows of four major projects of urgent importance that would cost $62 million if all were undertaken at once. A number of minor projects also need consideration, and a contingency fund for emergency projects in the sum of $500,000 is customarily set aside each year. The large number of costly, important projects and the limited availability of resources means that some difficult decisions must be made concerning which projects to approve for this coming year and which ones to postpone.

To aid him in his annual priority allocation decision, O'Keefe calls in his subdistrict directors and his district research assistant to work with him as a decision-making team. The team meets in the first week of July each year to make priority decisions. It is nearing time for this year's decisions, and Tom Wittman (subdistrict A), Marlina Schell (subdistrict B), Roy Regis (subdistrict C), and Dale Edwards (district research) will soon be called in for the conference. O'Keefe observes that of the four major projects under consideration this year, two are in Wittman's subdistrict (an $18 million project and a $7 million project); one is in Schell's subdistrict (a $19 million project); and two are in Regis's subdistrict (a $12 million project and a $6 million project). The smaller projects are scattered throughout all three subdistricts.

O'Keefe has experienced some difficulties in past years in getting the directors to work together smoothly. Tom Wittman is the oldest person in the group and has more seniority with the highway department. He sometimes attempts to use his seniority to influence others to think the way he wants them to and to accept his position on issues. He is willing to make concessions at times, but he attempts to manipulate the group to follow his own line of logic. Roy Regis frequently has a very closed mind and fights for projects within his own subdistrict without much regard for the welfare of the other subdistricts. Marlina Schell, on the other hand, usually tries her best to remain objective in the decision-making process. Dale Edwards seldom does anything more than supply information and provide supportive material for consideration in making decisions.

In spite of these difficulties, O'Keefe feels that a group decision on the priorities for allocating funds is essential, and he is preparing to use team decision making this year. He hopes to be able to overcome the difficulties that have occurred with this group in previous years.

Case Questions

1. Why does Arlin O'Keefe prefer to have a group decision rather than to make the decision himself? What are the advantages of a group decision in this case?
2. What decision-making technique should O'Keefe use?
3. What preliminary steps can O'Keefe take prior to group meetings to smooth the way for more productive, more objective group discussions?
4. What criteria could be developed for use in these discussions?

* * *

FORMAL GROUPS AND TEAMS

- Most of my time each day is spent in meetings with other executives and employees in which plans are made and organizational strategies are outlined.
- We seldom make decisions by individual action in our company anymore. Several people are involved in each decision.
- Our production process has become so interrelated that our employees must now work together as a team instead of as individuals.
- The most important training a young executive could receive today would be training in how to lead groups to work together to achieve goals (spoken by an older manager).

The preceding comments from executives in different types of industries point out a very important pattern in today's organizations. More and more, people are working in groups within the formalized structure of the organization in which they are employed. An increasing number of organizational functions (e.g., planning, product development, production, and distribution) are being handled by teams. Planning and decision-making responsibilities in particular are being given to teams rather than centralizing them in the hands of a few individuals acting independently.

In an era of increasingly complex organizations (resulting from mergers, takeovers, expansions, etc.), the importance of coordination and integration has progressed to new heights. Emphasis on teamwork has brought group effort to the forefront. In one study of the use of teams it was found that 47 percent of large companies in the United States made use of self-directed, autonomous work groups.[1] In another study, it was found that 80 percent of organizations with 100 or more employees use teams in some way and that at least 50 percent of all employees in these organizations are members of at least one team.[2]

TRADITIONAL GROUPS AND TEAMS

The group effort and teamwork we are talking about here refers to groups with formalized relationships (as opposed to informal work groups), where there are assigned duties and authority relationships that tie individuals together. These teams are in the structural chart of organizations. We will discuss at some length two types of groups: decision-making groups and quality circles. Other groups are important as well. These groups arise whenever people within the departments or units of an organization are called upon to work together.

A group could be a whole department or a smaller set of individuals working together. The public relations unit, for example, may function as a team, as may the legal department or a production group in a factory setting. Subgroups of employees, such as assemblers in the production department, may also function as a team to produce a part of the firm's final product. Sometimes, the terms *group* and *team* are used to refer to two different structures; we will use the terms interchangeably in this chapter. *Teams/ groups* will be defined as clusters of individuals bound together in some way with shared commitment to common goals.[3]

Teamwork in an Automobile Plant

An example of the use of teams is the assembly plant, where teams are being used to perform specific production activities rather than having people do highly specialized single activities separately. There are several advantages to the team production concept. For example, the team concept provides much more flexibility in organizational structure. As individuals work together—usually in groups of five to twenty—each individual learns how to perform several jobs. Because the individuals are less specialized, each person can perform different jobs as the needs arise.

Groups are often more productive than individuals working separately. As a result of the broader abilities and the loosened rules, productivity has jumped 20 to 40 percent in some organizations. Workers often seem more satisfied with their work in teams because there is greater variety in what they do and because each worker feels more in control.

One of the other advantages of working as a group lies in the quality of products completed. Traditional approaches emphasize quantity, where the team approach plays up quality.

How the Team Decision-Making Process Works

In one way or another, we all can be involved with teams. Most conversations with managers about how teams fit into their lives will result with discussions on the subject of teams and decision making.

Consider, for example, that when you supervise others, you are the leader of a team—the employees who work for you. You'll want to get them to work together in a variety of tasks, and you may want to involve them in the decision-making process. Second, you, as a manager, will be a member of the team reporting to your boss. Often, as a member of that team, you'll be involved in the decision-making process. Decision making is often a vital element in teamwork. Let's take a closer look at how it works. Our examination will illustrate the common features of decision-making groups while providing insight into the nature of group problem solving.

Decision-Making Groups . . . Or Is a Camel Really a Racehorse Designed by a Committee?

Many of the major decisions and some of the decisions of lesser importance in organizations are made through group deliberation. How to invest millions of dollars and what color to paint the walls in the hallway are representative of the variety of decisions frequently delegated to groups. Why not just let the boss or the technical expert or the manager of the department go ahead and decide what to do without involving others? As we will see, there are times when individuals should be making decisions rather than asking groups to do so. There are, however, some definite advantages to using groups for certain decisions and recommendations.

1. Team decision making usually results in the accumulation of a wider variety of facts and knowledge than individual decision efforts. Individuals working together as a team tend to supplement one another's knowledge as issues are considered.
2. Team interaction tends to result in the consideration of a greater number of alternatives before decisions are made. The nature of groups and their membership usually results in a broadened perspective for analysis and action.
3. Recommendations advanced through group problem solving frequently have a higher level of accuracy than do individually determined recommendations. It is important to note that decisions made by individuals in some situations may actually be more accurate than group decisions. (Research tends to show that groups do better in making judgments than do individuals but fail to reach their potential as a result of interactional problems.[4]) Groups frequently do a better job of handling problems of moderate difficulty than do individuals. Individuals, however, may be superior when it comes to problems that are extremely easy or extremely difficult. Group efforts may be superior for problems that have many parts and where participants have different knowledge and skills.

4. If the acceptance of a decision by employees is important, group decisions have merit over decisions made by another person acting independently.[5] When the group comes to a decision that represents a high degree of consensus, individual members work harder to make it succeed. Even individuals who are not a direct part of the decision-making team will tend to look more favorably upon a decision if their views are represented in the deliberations.

5. Group decision making results in employees who are better informed and more knowledgeable concerning the decisions reached. The participants in the deliberation process are personally aware of problems, alternatives considered, and decision constraints as a result of their involvement in the decision. Their knowledge can be shared with other employees to result in a well-informed group of workers in general.

6. The participants in the group interaction come to develop rapport toward one another. Goals, ambitions, interests, and concerns are revealed, and a better understanding is achieved.

7. Some kind of reward or reinforcement should be offered for acting together as a team or unit. Cespedes and colleagues suggest, for example, that sales groups that act as units or teams should have bonuses that are paid to all members participating in the team process. Bonuses should be split among group members when the group experiences successful group efforts.[6] Along this same line, Paulsen suggests gain sharing as a good reinforcement for teamwork. With gain sharing, specific percentages of employee-related costs are calculated for all products and services. For example, the labor cost of a refrigeration unit might be considered to be 25 percent of the total production cost. Any time unit members working together can cut the labor cost, the group members share the savings as bonuses.[7]

In brief, the positive effects of group decision making and problem solving may be better decisions and solutions, greater support and cooperation in the implementation of decisions, and better communication and understanding of decisions and personalities involved in teams. Notice, though, that we have qualified these statements with that all-important qualifier *may be.* Groups have potential to contribute a lot to the decision-making process. But they often don't live up to their promise. Why not?

Problems with Group Decisions

It is important to note that decision making in groups has its drawbacks, some of which follow:

1. Group decision making usually works more slowly than decision-making processes performed by individuals acting separately.

2. Because team decisions are slower to process and involve several individuals, the decisions reached become expensive ones. Where one employee might be able to reach a decision in twenty minutes by working alone, a group of five might take an hour. The salaries of the five individuals and the longer time period involved make the group decision a much more costly one (at least in terms of immediate expenses).

3. Group efforts frequently result in compromise decisions that are not always the most useful or most beneficial decisions. Members of the decision-making team often are more concerned about being good team members than they are about the quality of the final decision. As a result, groups tend to settle on the first generally agreeable solution rather than seek the best possible solution. Majority opinions also tend to be accepted regardless of whether or not they are logical and scientifically sound. Have you ever been a member of a group that was stalled—perhaps the group had spent a couple of hours working on a problem but felt it was going nowhere. Then, someone proposed a suggestion. Maybe it wasn't even an especially good one. But the group seized on it enthusiastically, glad to get off dead center. Such tendencies can hurt the quality of the group's work.

4. Group interaction is often dominated by one team member. This can happen because one of the team members is in a higher position of authority (in the authority hierarchy) than are the other members. (This may be you, if you're the boss working with your subordinates. It may also be your boss when working with you and your peers.) It might occur when some individual simply participates more, is more persuasive, or is more stubborn than anyone else. When an individual (or several individuals) is present who is considered to have high expertise, others present may feel their input isn't needed. They may even feel that any input they give will make them look foolish. Individuals who lack confidence in their own abilities will be especially reluctant to participate and suggest alternatives. Also, when issues and decisions being considered are thought to be unimportant or meaningless, group members will feel less inclined to contribute ideas. As a result, when individuals do not participate in the group's decision making, the strength and accuracy of the decision reached will be reduced.[8]

5. Conflict and disharmony may result if group actions are not handled properly. Because no two individuals think totally alike, group interactions may result in the airing of different feelings and different opinions. Individuals may begin to compete with one another to "win" their point of view rather than to find the best decision. This, of course, can result in the failure of the team's actions to be as useful as they

should be. The disruptive effects may be deep-seated and enduring, as you know if you've ever been a member of a group that was divided up into disagreeing factions.

6. Too much dependence upon group decision making can hinder management's ability to act. In organizations in which teams are utilized for almost every type of decision, individuals who serve in managerial capacities may have almost no authority. A manager who encounters a problem that needs an immediate answer may not be able to provide it if team decision making has preempted this right. Teams might find themselves agonizing over whether to buy two dollars' worth of pencils and a dollar's worth of paper clips if organizations refer all decisions to teams. It is possible for organizations to vest too much power and responsibility in the hands of teams.

7. Groups are usually more willing to take risks than are individuals, which may be a mixed blessing. Whether it is the fact that individuals in groups try to outdo one another when they get together or whether it is the security in numbers that workers feel in groups, the higher-risks feature seems to be true of most groups.

8. Groupthink may occur in groups that are especially cohesive. Irving Janis, who coined the term *groupthink,* defines it as the mode of thinking that develops with people who are deeply involved in a cohesive group to the point that striving for total agreement overrides their abilities (and motivations) to realistically appraise alternatives.

Three conditions contributing to groupthink have already been mentioned—there is a dominant or an expert leader, the group is willing to take risks, and the group is highly cohesive. Group members feel a great pressure to conform. As a result of the group's composition and past record, the possibility of failure is pushed aside. Individual members usually feel that everyone else in the group agrees with the decision being considered, and they become reluctant to raise questions or show disagreement. The group members appear to have closed minds when it comes to considering other alternatives. As a result, bad decisions are frequently made.[9]

Some people are beginning to question the concept of *groupthink.* It has been suggested, for example, that group decisions simply represent the positions held by the majority as the decision process begins. This way, it is not a matter of pressuring group members toward a position they initially reject. Instead, the majority position rules, and the decision process is one of convincing noncommitted members that the decision is right. Groups are inclined to take more risk-oriented positions than individuals acting alone would take.[10]

NONTRADITIONAL GROUPS

Interacting Conference Groups

The focal point of the discussion thus far has been on the more traditional types of decision-making groups. The most typical decision group historically has been the traditional interacting group or conference discussion type. In this kind of group, several conditions conducive to the most effective decision making have been suggested:

1. It is important for the participants in the group interaction to have a unity of direction—a common goal known to and accepted by each individual. This becomes even more valuable when it is realized that each member has his or her own needs, past experiences, and developmental needs.[11]

2. In keeping with the previous point, it is helpful if each group member is able to envision personal benefits that will accrue if the group performs its duties successfully. Hampton, Summer, and Webber state that, "in general, both the effectiveness of the group and the satisfaction of its members are increased when the members of the group see their personal goals being advanced by the group's success."[12] Think back on effective teams you've worked with in the past—with sports, or perhaps with such activities as publishing a school newspaper. In almost every case, it is interesting to see how your being a member of the team that performed well not only benefited you but also benefited the team.

3. More productive teams normally are those composed of individuals who are relatively equal in formal authority. One group of authors has called co-equal peers "hierarchically undifferentiated individuals."[13] Authority constraints are reduced by similarity of authority level. At work, you may notice that it's much easier to talk openly when management isn't there.

4. A state of open-mindedness on the part of every participant is critical to the success of group action. This component calls for receptivity to the views of others with a willingness to accept their ideas when the ideas seem to be valid. Group members, of course, will have ideas of their own, but it is a sharing of personal views and a consideration of the views of others that leads to success. To get a variety of ideas and to get them openly discussed, two things are necessary. First, there's a need for heterogeneity. Heterogeneous groups are ones where members have different backgrounds and ideas. (Homogeneous groups, on the other hand, where members are all alike, are prone to groupthink.) Second, an open, trusting atmosphere must develop so that group members aren't reluctant to offer ideas, even if the ideas are different.

5. The size of the decision group seems to affect the performance of the team. While Slater, in his study, found the optimal group to be about five members in size,[14] others have suggested in a more general way the need to keep the group relatively small. Bray and colleagues indicate that it is the functional size of the group that is important. As the group gets larger, some members stop functioning.[15] Bales and colleagues conclude that as a group size is increased from three to eight members, the group is more likely to be dominated by one or two members.[16] Markham and colleagues reveal that as group size increases, more people are likely to be absent.[17]

6. Someone must accept the responsibility for leadership in the decision group. Leaderless groups are usually ineffective. Although the leader's actions may vary, they usually include helping group members to clarify their roles and responsibilities toward the group. The leader will also need to articulate the agenda, listen to the agendas of other people, and attempt to negotiate ways to make agendas overlap. If the leader can use a win-win approach in clarifying goals and negotiating common points, the process will usually be more productive.[18] A suggested set of leadership activities is shown in Table 6.1.

TABLE 6.1. Leadership Responsibilities in the Team Decision-Making and Problem-Solving Session

Before Session Begins

1. Review facts and symptoms; clarify problems, goals, and objectives.
2. Encourage the collection of all pertinent data.
3. Assist in the selection of team participants who have an interest in the problem or task and are qualified to contribute.
4. Stimulate thought, provide information, and submit an interaction agenda to participants, if possible.
5. Make the appropriate physical arrangements.

During Session

1. Encourage a period of social introduction and development.
2. Help participants to become aware of group responsibilities and of pertinent information related to the fulfillment of responsibilities.
3. Lead the group in discussing problems, discovering and reviewing alternative solutions, and selecting the best available course of action.
4. See that individuals are rewarded for positive contributions.
5. Promise feedback and enlist the support of all participants.

After Session

1. Communicate the results of group performance to all appropriate individuals and see that ideas are acted upon.
2. Lead in monitoring and evaluating the results of group efforts and continue to provide feedback to participants.

Other group discussion formats are available in addition to the traditional one just described. A good example of an innovation in interacting relations is the Social Judgment Analysis. The technique, advocated by experts such as Hammond and Rohrbaugh,[19] requires a closer coordination of individual efforts through the weighing of decision factors, the determination of a sequence to tie factors together, and a definite organizing of all parts of the solution. Consensus as well as personal satisfaction is fostered by the use of this technique. (Please do the Personal Feedback exercise to identify your behavior patterns toward others.)

As we think about groups and their roles in decision making, it is helpful to consider the various approaches that can be used in the process. Many of the decision methods can be used regardless of whether individuals are making decisions or group members are acting together. Before we look at two techniques that can be used only by groups (and not individuals), let's consider scientific decision making, bounded rationality, the implicit favorite, and intuition. These techniques are sometimes used by individuals as well as groups.

Scientific Decision Making

Scientific decision making attempts to apply scientific principles as the decision process. In scientific decision making, the problem (or decision need) is defined, various possible solutions are formulated, data are collected that will help to clarify and support problem resolution, and the believed best course of action is chosen and is then implemented. Scientific decision making assumes that individuals and groups are rational beings and that they will always make rational choices that identify the best possible solutions. Scientific decision making has much to offer but is not used as frequently as we might expect. People don't always act rationally and optimally.

Bounded Rationality and Satisficing

One explanation of what individuals and groups do instead of acting totally scientifically is that they satisfice through the use of bounded rationality. Bounded rationality occurs as people simplify or reduce the scope of their decision making to a few criteria. It is believed that by looking only at a reduced number of factors, a workable decision can be made. In the process, the first workable solution found is accepted as the answer. Other alternatives are no longer sought. At times, the first workable solution may be the best alternative, and at other times the first solution may be less than the best.[20]

PERSONAL FEEDBACK
Manner of Communication:
With Whom Do You Work Best?

This style indicator will give you an idea about how you communicate. You can use it to see with whom you work the best.

Word Groups

In each of the 10 groups of words below, choose two words in each numbered group of four words you feel most nearly describe you in your everyday environment. For example, in the first group underline two words from strong, smooth, critical, and cautious. Then do the same for groups 2 through 10.

1.	Strong	Smooth	Critical	Cautious
2.	Centralized	Verbal	Studious	Nonassertive
3.	Dominant	Convincing	Tenacious	Willing
4.	Rigid	Assuring	Searching	Adhering
5.	Guiding	Compassionate	Inquiring	Imitating
6.	Regulating	Motivating	Probing	Cooperative
7.	Governing	Influencing	Contemplative	Listening
8.	Mastering	Satisfying	Organized	Obedient
9.	Aggressive	Inspiring	Systematic	Attentive
10.	Demanding	Supportive	Disciplined	Dutiful
	X total _____	**Y total** _____	**W total** _____	**Z total** _____

When you have finished underlining the appropriate words, do the following:

1. Add the words you've underlined down the columns and enter the totals in the spaces at the bottom of each column.
2. Add up the total row to see if you have the right number of words. Your total score should add up to 20.
3. Place a point on each of the W, X, Y, and Z axes on the righthand chart that follows to reflect your W, X, Y, and Z scores. Then connect the points to form a four-sided figure like the one in the lefthand chart on the next page. Suppose your X score is 6, your Y score is 4, your Z score is 8 and your W score is 2. Your figure will look like the one shown in the lefthand figure.
4. Now record your scores and draw the lines in the righthand figure.

The Midwest Human Resource Systems, who first developed this kind of test, says that the size of the box in each quadrant determines the importance of the style as shown below.
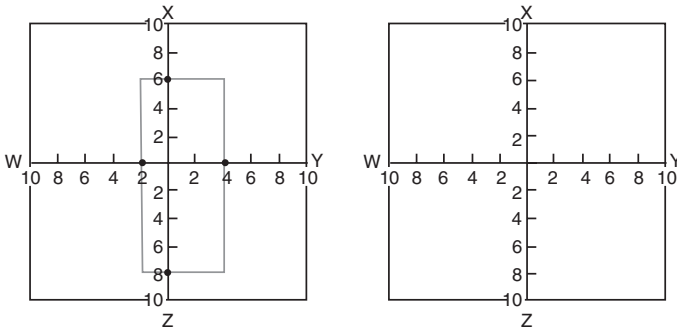
Directors have drive and initiative but don't attend to detail. They tend to run over others.
Persuaders make others feel good but don't establish directions.
Analyzers can pull a situation apart but usually can't make decisions.
Followers are "good souls" and have loyalty but show little initiative.

The Midwest Human Resource people further state that the best pairs for working together productively are directors with analyzers and persuaders with followers. However, especially in the case of directors and analyzers, they may not enjoy working together.

Implicit Favorite

Another decision-making method that is sometimes used is called the implicit favorite technique. In the process of making a decision, a decision maker may identify a preferred solution before reviewing all of the options available. Biases or prejudices may enter in to the consideration. The decision maker may then continue to look at other alternatives, but the others are matched against the favored decision and are viewed in the biased perspective so that the other options never measure up. As a result of the manipulations, the predetermined choice is made. Again, the best choice probably has not been made as alternatives are filtered through the biases.[21]

Intuition

Another decision method is known as intuition. Historically, intuition has been devalued. It is sometimes thought of as playing a hunch or as re-

sponding to emotions rather than logical thinking. However, Nobel prize-winner in economics Herbert Simon has placed a more favorable light on intuition as a decision technique. Simon sees intuition as a decision response based upon previous experience and knowledge. From an individual's or group's past exposures will come a response to a situation. The judgment will be based upon the identification of what was previously blended with what needs to be done now and in the future.[22]

Two Nontraditional Decision Groups

The decision techniques covered previously might occur in individual or in group decision making. The two decision techniques now being introduced are used in group decision processes exclusively. The techniques are designed to get greater participation and involvement from all group members (to avoid dominance by one or a few) and to benefit from the varied expertise that members bring to a decision situation.

The Nominal Group Technique (NGT)

Delbecq and Van de Ven developed the NGT in 1968 as a part of their sociopsychological studies of decision conferences at NASA. There are normally about six or seven steps in the NGT process. First, the problem is identified for the participants. Then, group members silently and independently generate their ideas about the problem in writing. This period of silent writing is followed by a recorded round-robin procedure in which each group member, one at a time, in turn, presents one idea to the group without discussion. The ideas are summarized briefly on a blackboard or poster board. After all individuals have presented their ideas in round-robin fashion, the ideas are discussed for clarification and evaluation. A preliminary vote on the best solution is then taken, with each person voting silently and independently. The preliminary vote is tabulated and discussed. The final vote is taken, with members again voting silently and independently. The voting is either by rank order or by rating, and the group decision is the pooled outcome.[23]

The Delphi Technique

The Delphi technique was first developed by Norman Dalkey at the Rand Corporation. Its stated purposes are to determine or develop a range of possible alternatives, to explore or expose underlying assumptions leading to different judgments, to seek out information that might lead to consensus, and to get ideas from experts.[24] The Delphi method was originally designed for use through the mail. It has been adapted by some for local use, however, and the possibilities for use with fax and similar applications are apparent. The process is a rather lengthy one. The steps to the Delphi process are listed in Table 6.2.

TABLE 6.2. Steps in the Delphi Technique

1.	Enlisting the cooperation of experts.
2.	Presenting the problem to the experts.
3.	Recording solutions and recommendations (from the experts).
4.	Compiling the responses and reproducing them.
5.	Sharing all responses with the experts.
6.	Having the experts comment on the ideas generated and propose solutions.
7.	Compiling the proposed solutions.
8.	If a consensus is reached, announcing the decision.
9.	Sharing responses with experts if no consensus is reached.
10.	Again encouraging experts to respond and propose solutions.
11.	Again compiling proposed solutions and comments.
12.	Announcing the consensus (if reached) or continuing the process until consensus is reached.

The conclusions of several studies are that the NGT and Delphi are superior to traditional interaction groups in their effectiveness for decision making.[25] Studies also conclude that the NGT and Delphi techniques draw more ideas and creativity from members and result in more satisfied participants. On a separate note, it should be mentioned that these nontraditional techniques also seem to be a good way for avoiding groupthink.

A Different Kind of Group—The Quality Circle

In recent years, an organizational group called the quality circle (QC) has evolved. Actually, the idea for such a group began in Japan through some of the ideas fostered by Americans Edward Deming and Joseph Juran, blended with the nature of Japanese culture. The QC is a small volunteer group of workers who agree to meet together regularly to discuss, analyze, and propose solutions to quality problems. This type of group is more likely to exist in manufacturing and processing organizations, but there is application to service industries as well. QCs usually meet once a week, either during the regular workday or following work hours. The topics they discuss are limited to their own areas of performance.[26]

Quality circles begin with the training of leaders, usually at the initiative of levels of management higher up in the organization. The training the group leader receives includes (1) administrative skills development, (2) the learning of simple statistical methods, (3) technological training to aid understanding of the organization's process, (4) instruction on the use of the case study method to develop analytical skills, and (5) methods to use in teaching others.[27] The leader normally will begin working with volunteers from a single area of a factory. Most QCs include from five to ten members.

If the circle gets too large, another leader is trained, and another group is formed.

When the QC meets (its average meeting time is between sixty and ninety minutes), all members are prepared as a result of assignments given to them at the last meeting. This preparation is extremely important to the success of the session. Brainstorming is usually an important part of the meeting. Each member is encouraged to participate and put forth ideas. No idea is criticized, and members are encouraged to voice all of their ideas, no matter how trivial the ideas may seem. Topics for discussion are selected in part by the group itself and in part by upper management. Some groups get no pay for their work, although most organizations do provide funding. Some of the pay comes in the form of rewards for ideas generated. On the average, 50 percent of the QC's activities is related to quality control, 40 percent is concerned with productivity and cost matters, and 10 percent concentrates on safety and other miscellaneous considerations.[28] In Japan, QCs (or quality control circles, as they are called there) are very popular. At least one out of every eight workers is a member of a QC. The percentage of workers involved in QCs in the United States is lower than the Japanese level but seems to be growing steadily.[29]

In the United States, several kinds of QCs have formed. At Xerox, many QCs are special-purpose one-time-only groups, assigned to solve a specific problem. For example, one group successfully solved a mail-routing problem involving a number of the company's operations. In other firms, such as several large oil companies, QCs are much closer to the Japanese mode, discussing any questions or problems that come before the group.[30]

The future of QCs seems bright as the idea spreads to other industries as well as to other nations.

TEAM BUILDING AND PROBLEM SOLVING

For a group or team to perform effectively for a period of time, a large amount of effort goes into renewal, maintenance, and innovation activities. It is typical for any type of group—decision making, operations, QC—to identify problem areas or areas where improvements are needed. A number of indicators exist that make groups aware that development is needed. Symptoms of group dysfunctioning include apathy and a general lack of interest; loss of productivity; increased grievances or complaints within a group; confusion about assignments; low participation in meetings; lack of innovation, imagination, and initiative; increased complaints from those outside the group; and evidence of hostility or conflict.[31] If you've ever been in a group with symptoms like these, you know that members quickly become turned off. Without some radical change, the group will stop making positive contributions.

A concept known as team building has developed for rebuilding and helping groups achieve an optimum level of effectiveness and efficiency. Team building does not require that a major crisis exist before it can be useful. Team building can be appropriate for any kind of organizational family (decision group, operational team, project group, committee). Team building may be a part of a total program for growth and development (Organizational Development, for example). It is an unending process.

Let's look at a team-building cycle that can help to put the stages of action into a sequence. Table 6.3 is a modification of the developmental cycle that has been advanced. The team-building cycle begins with goal setting (Stage One) that should involve team members and may require some outsiders to be included as resource persons. Someone serving as a change agent (see Chapter 14) would be a good person to include at this stage. This resource person can help the team focus on what it wants (needs) to accomplish and what kinds of actions it may need to consider. The team then begins its performance (Stage Two) when the appropriate preparations have been completed.

As performance occurs, the auditing phase (Stage Three) is initiated. Signs such as those mentioned in the previous paragraph can be monitored. When problems begin to surface—hostility, lack of productivity, and so forth—needed changes can be identified (Stage Four) and interventions (Stage Five) are begun.

If major change or innovation is needed, team-building methods most frequently used are individual consultation (counseling and coaching); instructional group training, including the use of T-groups and sensitivity training (these are loosely controlled group interactions); or structured group training, using readings, lectures, exercises, test instruments, MBO (Managing by Objectives is a participative technique to use for a degree of self-control), Grid training instruction on production-people emphasis, and Transactional Analysis (discussed in Chapter 8).

Process consultation, another method, features emphasis on technical, interpersonal, and communication procedures that are necessary to be effective. Analysis of the data collected in the earlier stages of the team-building process might be yet another intervention. When this kind of approach is used, the group (any type of group) and the organization can remain dynamic and useful.

TABLE 6.3. Team Building As a Change Cycle

1. Goal Setting
2. Performance
3. Audit-Evaluation
4. Change Identification
5. Intervention (Team Building)
6. Process Continues

After the intervention-change process has been utilized, the process begins again (Stage Six). Some possible audit-monitoring questions are shown in Table 6.4.

SUMMARY

People in work settings are finding themselves more and more involved in teams and groups. They work cooperatively for such purposes as production planning and decision making. The importance of integration and coordination of effort is steadily rising. Groups come in all sizes and shapes.

Group work is being used as an alternative to highly specialized individual effort. Groups are also becoming more autonomous as members do more of their own decision making, motivating, and controlling. Operational groups have many advantages: they provide flexibility, increase productivity, result in greater personal satisfaction, and produce higher quality products.

Decision-making groups are also receiving recognition for their effectiveness. Decision groups, when properly composed, result in decisions made with a wider variety of facts and alternatives considered. Recommendations made by groups (such as those for problem solving) frequently have a higher level of accuracy than recommendations made by individuals acting independently. Decisions made by groups are more likely to be accepted by employees than decisions made individually. Group decisions, as a result of the information exchange they cause, make organizational members more knowledgeable, which, in turn, may lead to more favorable mind-sets. As people work together, they develop a rapport among themselves.

There are drawbacks to group decisions, too. Group decision making is slower and requires more individuals to spend time in the process. As a re-

TABLE 6.4. Sample Team Performance Checklist Items

Questions that might be used in team performance monitoring could include:

1. Is team productivity increasing, decreasing, or remaining the same?
2. Do members have high confidence in each other?
3. Are team members showing creativity as they work together?
4. Do individuals put themselves or the group first when decisions are made?
5. Are individuals aware of the expectations other members have of them?
6. Are decisions based upon consensus, majority rule, or on what a powerfully dominant individual wants?
7. Are any team members left out of normal communications?
8. Do members have information available when needed?
9. Do members encourage and reinforce the good performances of their peers?
10. Are members self-starters or do they wait to be told before acting?

sult, decisions can be expensive. If group decision making is not handled properly, compromise, win-lose, and other inferior decisions may result. Managers can also become too dependent on group decisions and as a result may avoid making their own decisions. Groups are more likely than individuals to make risk-oriented decisions. This, of course, can be either good or bad, depending upon the situation. There is also the danger that groupthink will result. Groups can be structured and conditioned so that they can be most effective. Keeping the group size small is important for the best group results. Members of a group need to be compatible while bringing different skills and knowledge to the group. Participative, supportive leadership is normally more effective than dominant, controlling leadership.

Some employees find the emphasis on group-team performance to be a nuisance. American culture has shown a preference for individualism rather than collectivism (review Chapter 3). Groups/teams have met with the disfavor of many unions as well.

QUESTIONS TO CONSIDER

1. On a day-to-day basis, how can we tell when to use a group to do something or when to allow an individual to do something?
2. Why do many managers who are highly traditional in their philosophies oppose the use of teams, particularly for decision making and problem solving?
3. When would a decision made through individual effort probably be superior to one made through the group process? What kinds of decisions are involved?
4. Groups frequently tend to compromise in decision making. How can this be explained? How can it be improved upon?
5. If a single person is dominating a group and its efforts, what can be done to give the control back to the group?
6. What can be done about team members who fail to carry their share of the group's workload?
7. If you are a part of a group that you feel is headed toward groupthink and you are not the leader, how can you keep the group from making a mistake?
8. Why are the NGT and Delphi techniques said to be superior to traditional interacting group processes? Explain.
9. What difficulties (if any) are likely to be encountered in the team-building process? Explain.
10. Is it ethical for a manager to ask a group to do something the manager is unwilling to do (like make an unpopular decision)?

11. Is it ethical for a group member to withhold information the member knows might result in a personally undesirable decision?
12. Go back and analyze the case at the beginning of the chapter. What concepts from the chapter would be helpful if applied to the case?

CHAPTER CASE:
THE ARROGANT ARCHITECTS

After graduation you go to work as a planner for a large architectural firm. The firm's offices have been moved to several large, luxurious floors in a spacious office building—a result, your new boss tells you, of rapid expansion. "It's hard to believe that only four years ago we were a struggling firm with only six employees," relates the boss. "Now we stand at over two hundred and are considered one of the major firms of our type in the country!" You are impressed and ask what the boss believes is the secret to the firm's success. The boss responds:

> We are in the right place at the right time—no doubt about it. The situation is wild in our business. As you may know, competition is extremely intense among architectural firms, and gaining a competitive edge is the crucial issue. Things are especially rough because of the pressures on us—there are consumer groups, HUD and OSHA from the federal government, all kinds of state and local regulations, the environmentalists, and who knows what else, all involved in the way we do business. We've succeeded for two reasons, I believe. First, we've gained a competitive edge through the technology we've developed. Our design work is truly state of the art. We can deliver a building that is environmentally sound and nearly twenty percent cheaper to heat and air condition for roughly the same costs as our closest competitors. We've been able to do that because of the team we've had—a second reason for our success. But I'm afraid that we may be looking at problems in that area now.

You ask for details. The boss tells you, essentially, that in the early days the organization functioned as a loosely formed team where there were really no rules or organizational structure. Everybody simply came in and did whatever needed doing at the time. Even the most talented architect, for example, thought nothing of spending hours doing drafting work if that was what needed to be done. The boss goes on to say:

> But now, everything's changed. For one thing, we grew—and a large organization just simply can't run that loosely. And then our founding president left us, and the new one is a real organizational nut. Now everybody

has a neat job description and a nice little slot on the organization chart—but it's not the same. Furthermore, we're losing ground; it just doesn't seem like we can respond to the competition the way we used to.

The boss tells you about a current problem involving the drafting group, the architects, and the architectural engineers. The architects and the architectural engineers are the "elitist" groups—highly educated and highly paid. They look down on all others in the organization and are known for being uncooperative. "Wait until you have to work with them," the boss adds. "We need lots of information from them to go forward with the long-range plan, and I'm willing to bet that they'll refuse to provide it. They're just like a bunch of spoiled children!"

The situation concerning the architects is particularly serious. You learn that they aren't even loyal to the company, and there is some evidence that they've given out proprietary information to competitors. Much of the work of building design requires close cooperation not only among the architects as a group but also between the architects and other groups, which is where the additional trouble set in. The architects work fairly well with the architectural engineers (though the architectural engineers disapprove of the architects' lack of loyalty to the company), but relations between the architects and drafting are terrible. The draftspeople, angered by the arrogant attitude of the architects, give them very little cooperation and actually try to sabotage their work when they think they can get away with it. "What a mess!" the boss moans.

Case Questions

1. What factors are contributing positively toward teamwork within the groups?
2. What factors are preventing the organization as a whole from functioning as a team?
3. What needs to be done to create teamwork? What can be done?

GLOSSARY

bounded rationality: The decision process where potential solutions are simplified and data collection is limited. With this, the first workable solution encountered is chosen as the decision.

decision-making group: A team formally assigned to work together to solve a problem or make a decision.

Delphi technique: A technique for making group decisions where experts are chosen as participants. Group members never meet together directly.

They receive information, respond in written form, receive written feed-back, vote, and so forth, until a consensus is reached.

groupthink: The cohesiveness that develops in a group causing its members to seek a unanimous decision at the risk of failing to identify or consider factors that might result in a better decision.

implicit favorite: The decision process in which the preferred choice of the decision maker is selected before all options have been reviewed. Further solution comparisons are considered from a biased perspective so that the decision maker's preferred choice is chosen.

intuition: The decision method that draws from previous actions and experiences as choices are made. Many believe this process to be rational rather than emotional.

Nominal Group Technique (NGT): A group decision-making approach in which individuals identify solutions, share them in round-robin fashion, and eventually vote to select the best choice. At certain points during the group's effort, members may discuss the votes before making other votes.

operational group: A team of individuals formally assigned to perform a specific function or set of functions in an organization. This type of group may be a department or a set of functionally interrelated individuals.

quality circle: A voluntary grouping of a small number of individuals who work together within an organization. The group is joined together to pursue ways of improving and protecting the quality of the product on which they work. The circle concept originated in Japan.

satisficing: The decision process in which the first workable solution identified is accepted as the decision answer.

scientific decision making: The process in which the scientific method beginning with problem identification then following with possible alternative development, data collection, and rational choice selection. The most accurate decision possible is the goal.

team building: A concept including many stages in which the intention is to improve the quality and effectiveness of performance in a specific group. Several exercises may be performed to build group cohesiveness as well as to produce more goal-oriented behavior.

traditional interacting group: The most typical decision-making group, where group discussion is used as the method for reaching a decision.

Chapter 7

The Physical Surroundings
of the Workplace

OBJECTIVES

- To discover the effects physical surroundings have upon employees
- Specifically, to identify what the weather, visual stimuli, noise levels, office design and layout, location of bosses, seating locations, and other climate factors have upon worker performance and attitudes
- To review the costs and other effects of having smokers in the workplace
- To consider policies appropriate for regulating smoking at work
- To identify and discuss managerial actions to be taken to provide a productive, pleasant set of surroundings in which employees can work satisfactorily

A CASE TO CONSIDER:
THE SUPERIOR INSURANCE COMPANY

The Superior Insurance Company was experiencing phenomenal growth. Operations were being expanded to other states and territories, and sales efforts had been increased. As a result of the major client expansion, the physical plant facilities at the home offices were enlarged. On a space of land adjoining the existing offices of Superior, a large addition was constructed and passageways were opened to connect the new and old buildings.

The claims office was one of the areas that needed expansion. The claims office in the old building was housed on the third floor in a very conventional setting. Private offices for executive and supervisory personnel were provided. Computer terminals and printers were located in a room that was off-limits to everyone except statistical and computer personnel. Small groups of clerks and typists were located in spaces throughout the floor and were partitioned from other groups by room dividers.

When the new part of the building was constructed alongside the existing structure, a new office on the third floor was established for the expansion of the claims department. The old and the new claims offices were connected by a hallway. The design of the new claims office (a room with more than 18,000 square feet) was quite different from that of the old office. The new office was developed using an open floor plan in which no permanent partitions were constructed, and only a few five-foot dividers were placed to hide some filing cabinets. Supervisors sat surrounded by those for whom they were responsible. Flowers and other plants were sprinkled liberally throughout the new area. The lighting was bright and colorful. It was decided that the old part of the building would be remodeled in a couple of years and would be reconstructed in the same type of design used in the new building.

Since the workers in each part of the building were performing similar types of duties, it was decided to take some of the more experienced workers from the old building and disperse them among newly hired and trained workers so that the ratio of old-to-new employees in each of the claims department areas would be about the same.

At the end of the first three months of operation in the new arrangement, some interesting statistics were beginning to take shape. Errors and mistakes in the handling of forms and other records were up noticeably. Absenteeism had increased over the prechange pattern. At the end of the second three-month period, the data were the same, and a turnover rate higher than in any previous period was noted. When the error-absenteeism-turnover figures were isolated by work area, it was discovered that it was the employees in the new room that were making the errors and otherwise showing less desirable performances. A morale survey was taken: workers in the new room were found to be less satisfied with their jobs and working conditions than the personnel in the older, more conventional workspace.

Case Questions

1. From the brief facts provided here, what would you expect to be the causes of low levels of accuracy in performance and the high rates of absenteeism, turnover, and job dissatisfaction?
2. What truths about the workplace should we be able to draw from this situation?
3. What are the advantages of the open-space plan? What are the disadvantages?
4. What are the advantages of the more conventional, closed-off kind of office design? What are the disadvantages?
5. What should the people at Superior do about their newly identified problem?

* * *

We have discussed some of the things people bring with them to the workplace. We have seen the influences on behavior as a result of an organization's culture, including the formal, planned parts of the culture (Chapter 4) and the unplanned, informal side (Chapter 5). We've also seen the effects on behavior that are a result of individuals working in teams (Chapter 6). Now it is time to investigate the physical climate in which people work.

One recent study revealed that approximately 76 percent of those polled said that they were not satisfied with their physical surroundings at work.[1] This may not come as a surprise.

The physical surroundings and their impact upon people and their behavior is one of the most overlooked, underestimated elements of an organization. In the days before the experiments at the Hawthorne plant of Western Electric were conducted (in the 1920s), it was commonly held that the physical climate played a role in affecting performance as well as in shaping attitudes. In the Hawthorne studies, it was first believed that an optimum level of lighting in each work area would result in the highest level of performance. In the process of investigating the effects of lighting, the researchers discovered that no matter what the level of illumination, productivity kept increasing. When the lights were lowered, productivity improved, and when the lights were made brighter, productivity improved. As a result, the idea of the physical climate as a factor in performance and satisfaction was discounted. Today some argue that even the conclusions reached about the Hawthorne experiments were incorrect—that, in fact, the physical surroundings were instrumental in shaping the work activities, the relationships, and the communication patterns at Western Electric.[2] At any rate, for a time, the physical surroundings received little attention. Only in recent years have the physical factors and conditions around people been recognized for their potential to affect behavior.

Things such as noise, colors of walls, size of rooms, arrangements of furniture, and distance between workstations tend to serve as stimuli and create moods from which transactions are made. The effects of physical surroundings are not always manifested as conscious responses from individuals, but they do exist, and they do influence behavior. In many situations, the affected employees have no control over the conditions that surround them.

EFFECTS OF NATURE— TEMPERATURE AND HUMIDITY

The effects of nature have their beginnings outside the formal setting of the workplace. To an extent, some of the elements (temperature, for exam-

ple) can be influenced through the use of controls such as air-conditioning and dehumidifiers.

Stephen Rosen, one of the foremost experts on the topic of weather and its effects on human behavior, views the weather as a stressor.[3] As the level of stress in the body increases due to changes in the weather, behavior becomes dysfunctional. Because the human body attempts to maintain equilibrium under all circumstances, it takes steps to bring about homeostasis. When the temperature is cold, for example, the blood vessels constrict to keep warmth in. The changes modify blood composition, body chemistry, and the supply of oxygen to the brain. As a result, the moods and behaviors of individuals are altered. Most of us are accustomed to thinking that it's an old wives' tale that weather affects our moods and behavior, but Rosen's views suggest that there is truth to the idea.

What does temperature have to do with work behavior? Most of the studies done on temperature and its effects have shown that extreme highs and lows in temperature cause differences in performances of all kinds of tasks (complex decision making, number checking, target tracking, and flight simulation).[4] Temperatures exceeding 90 degrees for a high and 15 degrees for a low were found to slow work behavior significantly. Other studies have shown that temperatures don't even have to be particularly extreme to affect performance levels negatively. Wyon discovered that temperatures of 80 degrees or more had a slowing effect on typewriting performance.[5] Temperature fluctuations, in particular, seem to result in worker frustrations.[6] In addition to reducing performance by 20 to 30 percent or more, the temperature and other weather conditions resulted in symptoms of tiredness, disinterest in work, headaches and head pressure, and moodiness. Heated conditions over a period of time can be very fatiguing.

We have known for some time that criminal activities such as theft and assault are increased as the temperature climbs. Best thinking and best performance may occur when the temperature is cool and the weather is dry. Think about your own experiences. What temperature is best for you when you're involved in such actions as reading or studying? Are there differences when you are engaged in more active duties (vacuuming the house or building something, for example)?

Another temperature level to be concerned about is the surface temperature of the tools and materials with which employees must work. Manual dexterity has been known to decrease (along with the accompanying productivity) as much as one-third to one-half as a result of the change in surface temperatures. Surface temperatures below 55 degrees are all that is necessary in many cases to reduce performance levels.[7] Cold-impaired manual performance is assumed to be the result of a loss of sensitivity, changes in the fluids in the joints, or loss of muscle strength.

Employees who are dressed properly for the temperature and other conditions of the workplace can adjust comparatively well to the situation. Studies have shown that subjects wearing heavy clothing in low temperatures and light clothing in high temperatures perform at higher levels than individuals improperly dressed. Subjects properly dressed are more satisfied with their jobs and their working conditions than are those dressed inappropriately. In all fairness, however, some studies have found no particular difference in ability to handle difficult tasks based upon how people are dressed.[8]

The impact of humidity seems to coincide pretty much with the temperature level. In addition, depression levels of individuals seem to follow the level of humidity, as high humidity seems to cause higher levels of depression.[9] On the other hand, even slightly dry air can cause contact lenses to fog up. Dusty conditions may stir up allergies.[10]

Other Weather Conditions

Industrial accidents are at their highest when there are strong flows of warm-air currents or heat thunderstorms (positively charged molecules). On the other side of the weather, when cold-air movements are present, accidents and other undesirable types of behavior decline. Mountain air, with its cool content and a concentration of negative ions, results in higher levels of personal motivation and performance for many individuals.[11]

It is important to remember that not every worker is affected in the same way by weather conditions. Approximately 25 to 30 percent of the population is especially sensitive to weather conditions and will be significantly affected by changes. In addition, older and younger people seem to have more difficulty making adjustments to alterations in the weather than do middle-aged people.

We have become aware that exposure to the same amount of sunshine twice a day (about fifteen minutes morning and afternoon) also has positive effects on individuals. According to some experts, it seems that sunlight decreases the production of melatonin by the pineal gland in the brain, causing the body and its functions to become more stable.

Implications for Managers

What does all of this mean to the manager? Obviously, it calls for temperature controls whenever possible and it helps to justify the expenditure of money for air conditioning and heating. Where temperature itself cannot be regulated, workers need protection from the pain or discomfort that can result. Gloves may be necessary for intemperate situations. Uniforms appropriate to the situation (light materials that breathe for hot and insulated,

heavier materials for cold) may be provided, and it may be cost-efficient for the employer to provide these for employees.

Not all of the sources of temperature problems are physical. Workers in enclosed areas without windows are more likely to complain about stuffiness. A good solution for this is to place paper streamers next to the air vents; the visible indication of air movement in most cases relieves the anxiety over being without windows. Paintings of cool mountain streams placed strategically on walls can suggest psychological relief from heat, just as sunny desert scenes can provide a feeling of warmth.

THE IMPACT OF VISUAL STIMULI

What we see (visual stimuli) has a great deal to do with the way we behave and perform in the workplace. In particular, the predominant colors of the walls surrounding us have a major impact on our moods, attitudes, and behavior (see Table 7.1).

The Effect of Color

Every color sends out its own wavelengths when exposed to light. Each waveband stimulates chemicals in the eye, sending impulses to the pituitary and pineal glands near the brain. Stimulated by the response to a color, glan-

TABLE 7.1. Predominant Wall Colors and Their Effects on Behavior

Blue	Decreases breathing and pulse rate; causes tranquility; too much and rather dark shades of blue may cause depression
Bright red	Increases the heartbeat; causes overstimulation; makes people irritable, bad-tempered, and anxious
Bright yellow	Raises blood pressure, pulse, and respiration. Keeps people from lingering too long in nonproductive areas (cafeteria, rest rooms, lounges, etc.)
Drab gray	Slows heartbeat; causes lethargy and depression; makes people want to stay away from work
Brown	A relaxing color, associated with comfort
Dark shades of most colors	Affect people's sense of time passage; makes time seem to pass more slowly
Light shades of most colors	Affect people's sense of time passage; makes time seem to pass faster, often used with monotonous jobs
Pink	A temporary pacifier; after a short time period, it seems to foster aggressiveness

Source: Adapted from *International Management, 32*(5): 1977.

dular activity may speed up or slow down heart rates, increase or decrease brain activity, and alter the moods of the recipient of the wavelengths.[12]

Bright red gets a very strong reaction when used heavily in a work setting. Red increases heart rate, overstimulates employees, and may make employees irritable, bad-tempered, and anxious. Blue tends to work in the opposite way. Shades of blue reduce breathing and pulse rates, increase tranquility, and may even lead to depression if used in darker tones. Bright yellow, on the other hand, is another stimulating color (although not so much as red). Because yellow tends to cause a desire to move to other locations, the color is used to discourage people from lingering too long in places where they are being nonproductive. Yellows are frequently used in rest rooms, coffee break areas, and other places where people may gather during work.

As mentioned, dominant colors sometimes affect the way employees feel about the temperature in the rooms where they work. Blues and shades of aqua cause some people to feel cold. Reds and oranges promote feelings of warmth.

The color of objects being handled can affect the attitudes and abilities of workers trying to manipulate them. Kane reports that workers had a harder time lifting light boxes painted black than they did heavier boxes painted white. Darker colors seem psychologically to suggest they are heavier than do lighter colors.[13]

Obviously, attention to the colors surrounding employees can make a difference in the behavioral patterns of employees. No single suggestion covers all color situations, however. If tranquility is desired, blue tones are a good bet. If hostility is to be avoided, steering away from the use of red tones is helpful. If employees are in jobs that psychologically seem to drag, dark colors will need to be changed into light shades. In other words, it is possible to adapt color surroundings to the temperament and needs of a situation. Some fast-food stores, for example, have apparently made good use of yellow and yellow-related colors. In doing so, they encourage a faster turnover of customers.

It's important to remember that the color needs to be a dominant one to have a significant impact.

Beauty versus Ugliness

Not only do the colors of the rooms and the objects with which people work influence people's attitudes and performance, but the general appearance of the places where people work has its impact as well. In the classic studies by Maslow and Mintz, a "beautiful" room with beige walls, indirect lighting, and pictures and other attractive furnishings was tested against an "average" room (a professor's office with typical furniture and battleship-gray walls) and an "ugly" room with only an exposed light bulb and ill-

fitting furnishings in very messy condition. The first study revealed that work performed by individuals in the beautiful room was much more positive (the people evaluated photographs shown to them) than the work done by participants in the average and the ugly rooms.[14]

In the follow-up study, Mintz used just two rooms—the beautiful one and the ugly one. He had two examiners alternately test people in the two rooms. Findings showed that the examiners gave higher ratings to participants when they evaluated them in the beautiful room. They also discovered that the examiners finished their evaluations more quickly and left the room sooner when they worked in the ugly room. The examiners showed feelings of comfort, pleasure, enjoyment, importance, and energy while working in the pretty room. When they worked in the ugly room, they expressed reactions of monotony, fatigue, headache, sleepiness, discontent, irritability, hostility, and avoidance.[15] Clearly, it would seem that the different aesthetic conditions in the experiment had an impact upon personal judgment and self-worth and perhaps on the level of commitment to the tasks, cooperation, and interpersonal judgment.[16] It seems probable that a pattern exists. Pleasant work areas foster positive behavior, while grim and drab areas often lead to less inspired responses.

The message here is that attractive conditions facilitate the development of positive feelings, while visually offensive appearances can result in mediocre to poor responses. The effects of color may be a part of the picture here. The use of pleasant coloring along with the addition of such extras as paintings, draperies, carpeting, and adequate lighting may mean the difference between good performance and bad performance. Neatness and orderliness are important, too. Attention to the general appearance of a work area may contribute to levels of cooperation and satisfaction.

Levels of Lighting and Work Performance

In most cases, the level of illumination under which employees work has had a moderate level of influence on performance. In general, adjusting levels of lighting to more comfortable strengths (and those that allow for better concentration) tends to increase production an average of 3 to 15 percent. There are incidents, however, when the volume of performance has been altered as much as 35 percent as a result of lighting increases and decreases. The most important effect often comes with the removal of glare rather than with the changes in the level of illumination.[17]

Having windows in the workroom also affects the visual stimuli received by workers. In windowed rooms, workers seem more interested in their jobs, are more satisfied with what they are doing, and consider their physical working conditions to be superior to others when compared with the ratings of those who work in windowless areas.[18] In addition to the increased

lighting from windows, the presence of windows affects perceived status, preferential treatment, and psychological conditions.

Glare can be alleviated by using indirect rather than direct lighting. Light directed toward the ceiling of a room and then reflected back to a workstation is less likely to result in glare. Light fixtures that screen the light before spreading it can also be helpful. One architectural and office planning firm has suggested several steps as possible solutions to the problems of glare:

1. The use of new injection-molded acrylic lenses that fit on standard fluorescent fixtures and help spread light and eliminate the direct overhead source of glare
2. Increased reliance on controlled-task lighting to supplement and overall lower the level of lighting, which provides appropriate lighting on a personal basis
3. Increased use of electronic dimming control of indirect glare-reducing lighting, which makes it possible for workers to regulate and adjust the amount of artificial light used as natural light changes throughout the day
4. The inclusion of distant views, preferably window views, for workers, which reduces constant eyestrain[19]

The American National Standards Institute—Illuminating Engineering Society Standard Practices for Office Lighting recommends that general illumination levels be kept at 25 to 30 foot-candles and that task lighting be used to supplement this background illumination system anywhere people perform paper-based visual tasks. The task lights should be located almost 15 inches above the work surface.[20]

AUDITORY FACTORS—
THE EFFECTS OF NOISE

A major stressor in many jobs is noise—the sounds of the workplace. One recent study showed that 70 percent of the workers questioned thought noise was the leading distraction at work.[21] Noise is derived from many sources. Normally, however, it is not the source but the volume level that causes concern. In the Superior Insurance case at the beginning of the chapter, noise was a probable handicapping factor.

Noise levels are measured in decibels (dB). To avoid hearing damage, the noise level should be no more than 74 dB for an average eight-hour day. Damage to hearing begins at 75 dB. The Occupational Safety and Health Administration (OSHA) requires that all noise levels in a work location not

exceed 90 dB over an eight-hour period. Intensities higher than 90 dB may be acceptable, but for shorter periods of time. For example, the exposure to 105 dB is legal for a time period of up to one hour. Sounds of 115 dB are permitted for no longer than fifteen minutes. OSHA estimates that more than five million workers today are exposed to 90 dB or more for the eight-hour workday. Given the fact that people usually aren't aware of pain from noise until the 130-dB threshold is reached, a large number of employees today are suffering a loss of hearing without being aware of it (see Table 7.2).

As seen in Figure 7.1, a large number of noises both in and out of the workplace can be present and doing damage without people feeling pain. It is unfortunate that people don't experience pain until the noise level reaches several decibels within the damage zone.

Reaction to excessive noise is cumulative as it affects health, morale, and productivity. The consequences of exposure to abusive noise may not show up for years. Persistent noise levels can cause the constriction of blood vessels to the brain and other key organs. The nervous system can be damaged. Seizures may be triggered in epileptics. Unborn children may also be harmed.[22]

TABLE 7.2. Protection for Noise and Hearing

Firms covered by OSHA must:
1. Survey noisy areas to establish the decibel-level exposures that employees in each area encounter.
2. Develop a hearing-conservation program to cover all employees exposed to continuing noises at or above 85 dB.
3. Give each worker with high-level exposure a baseline audiogram to establish the employee's level of hearing at the start of an assignment to a high noise area.
4. Retest annually all employees working in the 85-dB-and-above areas to determine if there has been any measurable hearing loss at any tested pitch.
5. Offer hearing protectors to workers exposed to the 85 dB level and give protectors mandatorily to all workers receiving 90 dB or more of noise.
6. Train workers in the use and care of hearing protectors and enforce the wearing of them.
7. Refit hearing protectors regularly to employees incurring hearing loss and retrain individuals in their use.
8. Notify each worker suffering hearing loss within twenty-one days after a change in hearing is discovered. Send the hearing-loss individual to a specialist outside the organization if necessary for further testing.
9. Keep an ongoing training program on noise and hearing conservation and require each employee to participate at least once a year.
10. Maintain and make available to workers (and others requiring the information) records on the noise-level exposure of employees as long as they remain employed.

Source: Adapted from Janet Raloff, "Occupational Noise—The Subtle Pollutant," *Science News, 121*(21): 1982, 347-350.

FIGURE 7.1. Intensity of Industrial Noise Levels and Hearing Effects (dB)

dB	Industrial Sounds	Hearing Effect
160		Harmful to hearing and painful
150	Medium jet engine	
140		
130		
120	Punch press Bulldozer	
110	Cotton mill loom Steel mill blast furnace	Hearing loss begins to occur
100	Newspaper press Road grader Subway train	
90	Turret lathe Heavy-duty truck	
80	One-ton truck Vacuum cleaner	
70		

Source: Adapted from Janet Raloff, "Occupational Noise—The Subtle Pollutant," *Science News, 121*(21): 1982, 347-350.

Extremely loud and unpredictable noise can cause an increase in blood pressure and a negative psychological mood.[23]

The Effects of High-Level Noise on Worker Performance

It is important to note that it is not necessary for noise to cause hearing damage in order for the sounds to influence behavior. Wohlwill and colleagues discovered, for example, that continuous auditory stimulation will affect an individual's ability to cope with frustration. Where noise prevails over a period of time, a worker's tolerance for frustration declines. Employees affected in this way have problems continuing with an activity and give up more quickly when task difficulties occur.[24]

Obviously, noise makes it more difficult for people to communicate with one another. Where noise levels are high, it is not unusual to find misunderstanding and confusion. Tasks that require significant amounts of concentration are also hindered by noise. You may have run into this kind of problem. For example, many students complain of an inability to concentrate on complex homework problems when others around them are playing distracting music or watching television. Even the level of cooperation is hand-

icapped by increasing noise. People working together are less inclined to be helpful when noise levels are high. People who are in quieter areas are more likely to be friendly and to have more friends than people who are in noise-infested surroundings.[25]

People who have a predisposition to be aggressive are more likely to have their aggressiveness stimulated when loud noise levels prevail. On the other hand, all individuals are likely to be more positive and more approving of others in their evaluations when working in quieter areas.[26]

In summary, noisy environments are much more likely to result in frustration, the willingness to quit, the feeling of helplessness, decreased communication and understanding, lowered concentration, reduced cooperation and friendliness, decreased approval of others, and heightened aggressiveness than are quiet surroundings. Most of the effects of higher levels of noise are detrimental to the organization and to the people in it. (Do the Personal Feedback noise sensitivity exercise to see how much noise affects you.)

Occupations that are most vulnerable to high noise levels include factory workers, airport employees, demolition specialists, military workers who are involved with explosives, and printing press operators.[27]

Reducing Noise Levels

Although it sometimes will be impossible to control or even reduce the noise level, in many instances, undesirable racket can be handled. Where the noise has a mechanical base, the revision of equipment, the replacement of extremely noxious machines, the use of lubricants, and the application of acoustical materials might make the noise level more tolerable. Work areas may need to be rearranged. Quiet rooms may be dedicated for work requiring a noise-free climate. Workers may need to be relocated, or the noise sources may be isolated away from workers. Where noise levels cannot be decreased to acceptable levels, protective-hearing devices must be provided. Protective devices (earplugs, etc.) serve as a last resort in some ways; while workers may be protected, communication, cooperation, and other interpersonal conditions are hindered by their use.

PHYSICAL LOCATION AND PLACEMENT

Another important factor in the physical climate of an organization is the actual location and placement of the people in the buildings where they work. In the past twenty years or so, designers and researchers have juggled people and their workplaces in an attempt to find the optimal location to facilitate production, cooperation, and satisfaction.

PERSONAL FEEDBACK
Noise Sensitivity

This exercise is designed to give you some feedback about how you relate to sounds and noises around you. Answer each question as accurately as you can. Each item is scored on a five-point range. Give the statements you strongly agree with a score of 5. Statements you strongly disagree with should be given a score of 1. In-between scores should be given as appropriate.

	S/A	A	N/A/N/D	D	S/D
1. It is easy for me to concentrate on my studies when I have my stereo or radio on.	5	4	3	2	1
2. I find it difficult to concentrate on my studies when my spouse, roommate, or next-door neighbor has the radio on at a level where I can hear it.	5	4	3	2	1
3. I find it very distracting when I'm taking a test to hear someone's fingers tapping on a desk, shuffling papers, clearing the throat frequently, etc.	5	4	3	2	1
4. When someone interrupts me with questions while I'm writing or studying, I find it easy to pick up again where I left off.	5	4	3	2	1
5. When I'm at a movie or play, I find it distracting to have someone in the row behind me whispering throughout the production.	5	4	3	2	1
6. I find it easy to fall asleep at night when there are noises nearby, such as other people's voices or automobile traffic.	5	4	3	2	1
7. I would say that when playing the radio/stereo in my home or in my car, I usually have the volume high.	5	4	3	2	1
8. When people are talking in a room near me, I find it easy to tune out their conversation.	5	4	3	2	1
9. When I'm watching television with someone else, I am the most likely one to ask that the volume be turned down.	5	4	3	2	1
10. I don't enjoy going to ball games and other events where it is extremely noisy.	5	4	3	2	1

S/A = Strongly agree; A = Agree; N/A/N/D = Neither agree nor disagree; D = Disagree; S/D = Strongly disagree.

When you have answered all ten of the questions, record their scores in the following manner:

For the following questions, write down the score you gave as an answer:

```
       2 _____
       3 _____
       5 _____
       9 _____
      10 _____
Subtotal _____
```

Reverse score the following questions by subtracting the score you gave the statement from 6. If, for example, you scored item 1 as a 4, subtract 4 from 6 to get the adjusted answer of 2.

1	(6-_____)	=	_____
4	(6-_____)	=	_____
6	(6-_____)	=	_____
7	(6-_____)	=	_____
8	(6-_____)	=	_____

Subtotal_____
Total_____

Now add your two subtotals together. The higher your score, the more affected you are by the sounds around you. A score of 40 and above indicates a high sound sensitivity. A score of 30 to 39 indicates some sound sensitivity. A score of 20 to 29 indicates little effect from noise one way or the other. A score of 10 to 19 indicates you are absolutely free from the effects of noise (or that you need to turn your hearing aid up!).

The Open Office versus the Conventional Office

There are many things to consider when planning the design for offices and other work areas. The keys to achieving the appropriate design include privacy, flexibility, comfort, and access.[28]

One of the most tested and discussed concepts dealing with the physical arrangement of people at work has been the open office design. Refer to the Superior Insurance Company case at the beginning of the chapter. It is apparent that the open plan was a major factor in this situation. This fairly recent notion eliminates many of the boundaries around workers by removing all of the walls and doors in the work space and putting all supervisors and workers into a single, open area. The open office concept was designed for enhancement of interpersonal relations by making it easier for people to be in contact with others. It was felt that communication would improve and barriers would be reduced. With the walls gone, flexibility in placing people would be improved. Open offices would be less expensive to construct and maintain. People would see themselves more as equals to the others in the building; cooperation would be encouraged.

Although this is a controversial subject, some studies of the open design compared to the conventional walled arrangement (where each office and most work areas are enclosed) indicate that the open plan has been inferior to the conventional design. The Superior Insurance Company case is typical in many ways of what has been reported after a change to the open plan. Although open offices may be less expensive to furnish and maintain, and they sometimes do improve communication, many of the other yardsticks used for measuring the two approaches favor the conventional design.

Why have there been so many problems? For one thing, most workers prefer the conventional system. They complain about noise, the loss of sta-

tus, and the lack of privacy of the open offices.[29] In their comparison of the two plans, Oldham and Brass say that the conventional plan is better for the following reasons:

1. Boundaries (walls) help to provide privacy where there can be confidential conversations, the sharing of information, and better identification between employees and the tasks they perform.
2. Autonomy declines in the open arrangement because supervisors are more likely to interfere with employees (it is easier to observe employees).
3. Boss-worker feedback decreases because there is less privacy.
4. Fewer close friendships exist (thoughts and feelings are harder to share as a result of noise and loss of intimacy).
5. The feeling of task significance and the ability to concentrate declines.[30]

Another study has concluded that the open design does not improve flexibility, information flow, communication, or the elimination of internal barriers. In fact, communication and flexibility become even more difficult.[31]

Many different variables exist in the needs jobs require for privacy. Some tasks are nearly impossible to perform unless there is a total absence of environmental stimulation or distraction. Other tasks can be performed in a totally public and accessible space.[32] Also, some individuals seem better equipped to deal with distractions than others. People who are "screeners" seem to be able to block out irrelevant stimuli while "nonscreeners" find their attention easily redirected by what is taking place around them.[33]

More and more often employees are expressing the need to be in control of their immediate work environment. Employees often ask to have more control over temperature, lighting, ventilation, noise, privacy, and other environmental components.[34]

Working patterns are also being altered. It is estimated that eight to nine million employees work at home at least one day a week. Employees more frequently are on the road meeting with clients and others outside the workplace. Employees are also spending more time at their offices working in teams. These trends are changing the requirements of the office by calling for more flexibility.[35]

Working with the Open Design

Since there are so many perspectives on the issue of open versus conventional floor designs, those considering the various options would do well to keep an open mind and evaluate their needs and opportunities. There are a number of questions that can be helpful in choosing the right layout. Some of the questions are:

1. How much noise is generated by computers, machinery, and equipment?
2. How much noise is created by the conversations of individuals and teams in the normal routine of work?
3. What equipment and techniques are available to control noise? How expensive are these?
4. How much cooperative effort is necessary between individuals and groups?
5. How important and how frequent is the need for privacy in communication?
6. How much thinking and deliberation are called for in the performance of work in the area?
7. Are employees screeners (those who can block out noise) or non-screeners (those who cannot block out noise)?
8. How much flexibility is needed based upon anticipated increases or decreases in the number of people working in an area?
9. How much space is available?

If noise is a problem, high performance acoustical ceiling systems, equipment to mask machine noises, sound-absorbing flooring, and acoustical partitions may help.[36] If the need for flexibility is high, desks can be made moveable by placing them on casters. Desks can be modular for arranging group meetings or privacy when appropriate. Panels of different sizes can be used. Where concentration or privacy needs are high, private "concentration rooms" can be made available. Draperies and plants can be used to improve the atmosphere and at the same time reduce noise volume. Isolating noise sources from the rest of the employees may also be helpful.

In the Superior Insurance case, the lack of privacy, the removal of status symbols, and the increased noise levels were some of the reasons that problems occurred in the open room. It is probable that for Superior Insurance, the solution will lie in the construction of walls or at least the placement of dividers to separate people and to decrease the noise input. In fact, almost all of the suggestions mentioned above could be used to improve the situation at Superior. Obviously, the open office is a controversial and highly debated topic at present. Other issues related to locating workers and managers are also receiving attention.

Where the Bosses Should Go

Where should the managers' offices be located in relation to their employees? Would it be wise to put all managers in the same general area, or would it be better to place them in offices near the people they supervise? "An executive row," where all executives' offices are placed together and away from the employees, does offer some merit in making it easier for

bosses to communicate among themselves. A closer spirit of teamwork among the managers may be promoted. But overall, the view is less encouraging. Steele says that the executive-row arrangement causes:

1. Executives to see less of the workings of other people and other parts of the system.
2. Greater compartmentalization, unless specific places for interactions are provided for.
3. An increased degree of secrecy in which executives give other people only very controlled information.
4. Less communication between supervisors and their employees.
5. Habit and precedent to become the method for acting rather than adjustment and flexibility.
6. Decreased control over what employees are doing.
7. Very little teamwork and identification between people.
8. Frequent boundary or jurisdictional disputes.[37]

Furthermore, the results when executives' offices are moved nearer to those they supervise usually counter these findings.

What to Do if Centralization Is Necessary

The arguments for superiors to have their offices near their employees are numerous, while the points in favor of bosses being located centrally are few. If centralization is necessary, special arrangements are needed to be certain that boss-employee communications are not stifled and that teamwork is encouraged. Bosses need to move frequently among their charges. This is good advice under almost any circumstances and is called "management by walking around." Team sessions for giving and receiving feedback become a must. The open-door policy is appropriately cultivated.

Other Causes and Results of Location

An interesting set of observations has resulted from watching and interviewing people with regard to where they prefer to sit while interacting with others. Primarily through the efforts of Sommer, it has been discovered that when people are working on a cooperative project, such as proofing a script or watching a video together, they prefer to sit side by side (see Figure 7.2). Indeed, the side-by-side position is useful where coordination of effort is required. When people engage in casual conversations, they prefer to sit at adjoining sides located at a ninety-degree angle if seated at a rectangular table. When two people are adversaries, they prefer to face each other across a table. These locations appear to be preferred by the participants and are utilitarian as well.[38] Such preferences occur naturally and are usually taken for

FIGURE 7.2. Preferred (and Perhaps Most Useful) Seating Arrangements

Cooperative Project

```
 ┌──────────┐
 │          │
 └──────────┘
      XX
```

Casual Conversation

```
 ┌──────────┐
 │          │ X
 └──────────┘
      X
```

Adversarial Situation

```
      X
 ┌──────────┐
 │          │
 └──────────┘
      X
```
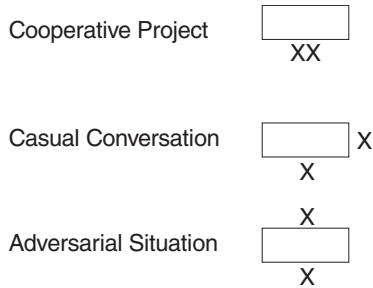
Source: Robert Sommer, *Personal Space: The Behavioral Basis of Design* (Englewood Cliffs, NJ: Prentice-Hall, 1969).

granted. But think back to your own experiences. When you and a friend stop to eat somewhere, what seating arrangement do you most often use? Across the table? At a ninety-degree angle? Sometimes, however, women do sit fact-to-face even in casual situations.

When larger groups get together, some additional guidelines are helpful. When groups and teams meet for open discussion, a round-table effect seems to encourage more complete discussion and in-depth involvement (see Figure 7.3). For lectures and presentations requiring only limited discussion, a theatre-type arrangement seems appropriate. In situations where some involvement is needed but one person will be doing most of the talking, a U-shaped layout with the leader sitting or standing in the open part of the U may work best.[39]

THE STATUS IMPACT
OF PHYSICAL CLIMATE

Physical factors are also strong symbols of status and prestige. As Becker says, "Settings communicate information about a user's level in the formal hierarchy, the kinds of functions he or she performs for the system, how a visitor to the setting is expected to relate to the system. . . ."[40]

The most familiar function of the physical space surrounding a person is the status symbol message. "Various facilities and patterns of facilities form the basis for a visual language by which insiders and knowledgeable outsiders can tell at a glance an individual's status level in the system."[41] The following elements are used as status symbols:

- Size in square feet of personal space (more space usually signifies higher status)
- Luxuriousness of furnishings (carpet, drapes, thickness of carpet)
- A private office (being less visible to others usually signifies higher status)
- Desk (having one, the size, design, and materials out of which it is made)
- Location of office (on executive row, in a central place, or in a back-water area, etc.)
- Windows (having one or more, distance from them)
- Decorations (quality, whether provided by company or not)
- Secretary (private one or sharing one with others)
- Location of secretary (in a pool, inside or outside one's office)[42]

SMOKING IN THE WORKPLACE

One of the more recent controversies in the workplace involves the issue of smoking. In spite of the Surgeon General's warnings about the effects of smoking, more than three out of ten adults still smoke cigarettes. The major-

FIGURE 7.3. Arrangements for Groups and Teams

Open	x
Participative	x x
Discussion and	x x
Involvement	x
Theater-Type	x x x x x x x x x
Presentations	x x x x x x x x x
	x x x x x x x x x
	↓
	Focal Point
	x x x
Limited Discussion	x x
with Strong	x x
Leadership	x x
	x x
	The leader
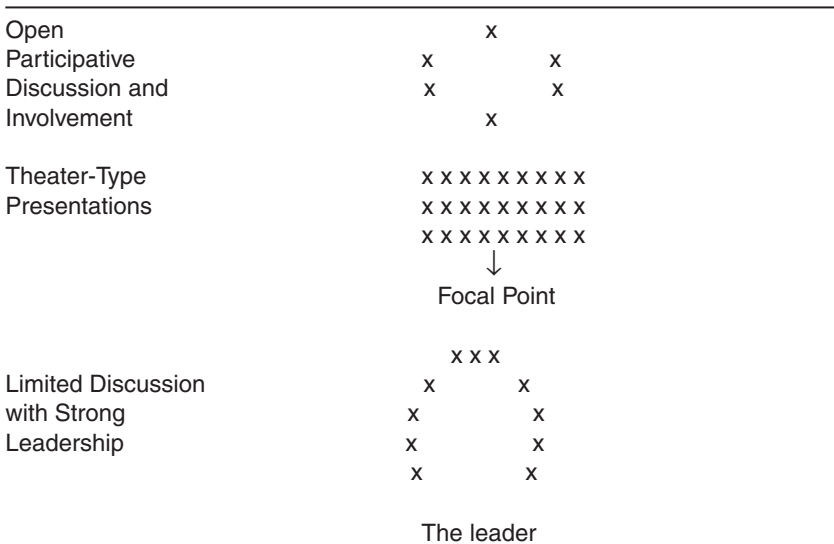
Source: Marilee Crocker, "The Art of Seating," *Meetings and Conventions,* October 1993, 53-54, 58-59.

ity of today's smokers began smoking when they were in junior high school.[43] Some have succeeded in quitting, but the majority have not.

Smoking is a major concern because its effects are so quickly recognizable and its impact is so pronounced. We know that cigarette smoking may result in such serious illnesses as chronic bronchitis, emphysema, and lung cancer. Unfortunately, the smoker is not the only person affected by the smoke. The sidestream or secondary smoker—the person who breathes the smoke exhaled or generated by the smoker—may actually be affected as much as or more than the principal smoker. In a report issued by ASH (Action on Smoking and Health), it was stated that an idle lit cigarette generates as much as four times as many toxic agents as those given off by a cigarette being puffed by a smoker. Toxic agents go into the air without being filtered.[44] As a result of others' smoking, a nonsmoker in a smoke-filled room may be forced to breathe the equivalent of several cigarettes' worth of toxins a day.

Environmental tobacco smoke is considered a Group A carcinogen, which means it is in the most dangerous cancer-causing category for humans. Heart disease, asthma, bronchitis, and allergy conditions are affected by smoke as well.[45]

The cost of having smokers as employees is significant. In one of the most comprehensive studies of the cost of smoking, the Weis study estimated that the cost of the employee who smokes is as much as $4,600 per year.[46] The increased costs of having a smoking employee are the result of absenteeism, medical fees, insurance costs, damage to property, time lost on the job, and other costs.

Employees who smoke one pack of cigarettes a day spend three and one-half hours a day with the smoking habit (smoking, lighting a cigarette, holding a cigarette, walking to and from an acceptable place to smoke, and so forth). Twenty percent of the smoking time is spent completely exclusive of all other activities; in other words, productive activity completely stops during exclusive smoking periods. An employee earning $7.00 an hour, for example, costs his or her employer at least $11.20 in lost time daily.[47]

Smoking policies in today's organizations range from the prohibition of smoking in any part of the workplace, to allowing smoking in restricted areas, to allowing smoking in all locations. There is a definite trend toward increased controls.

Managing Smoking in the Workplace

The need to control smoking is obvious. The legality and fairness question must be given due consideration; it requires a balancing act. The organization must consider its smokers as well as its nonsmokers. Those who smoke or have friends who smoke will be aware that smokers experience a number of frustrations. Many started smoking at a young age and feel un-

able to quit. At the same time, they feel that others are unduly hard on them; an organization that is insensitive to the concerns of its smokers may alienate an important group of employees. Some suggestions have evolved as organizations have gained experience. Some general policy statements are appropriate. For example, it is appropriate to state general policies that smoking is always off-limits in areas where there are:

1. Flammable or otherwise hazardous materials stored or in use
2. Computers (not the desktop type) being used
3. Sensitive materials in operation
4. Critical records and supplies which, if exposed to smoke or ashes, would be damaged[48]

Beyond these general policies, it would seem wise for management to:

1. Limit smoking, where possible, to one area of the work site
2. Rearrange offices or other workplaces so that smokers are placed in one area and nonsmokers in another
3. Separate smokers and nonsmokers with partitions
4. Use smokeless ashtrays and room air filters
5. Put smokers near exhaust fans and nonsmokers near fresh-air vents
6. Ban smoking in common areas where everyone must mix and interact, including halls and conference rooms
7. Allow smoking only in private offices or in other designated smoking areas[49]

Managers in many organizations are not satisfied just to separate workers and create other physical conditions limiting space where smoking is permitted. Some offer programs aggressively assisting workers who want to quit smoking. If not offered in-house, the quitting program may be paid for fully or in part by the employer. Programs for the family or co-workers of the quitting smoker—training them to serve as support—are also offered, as well as various forms of counseling.

Companies give rewards and offer incentives to help motivate individuals. Money is sometimes offered to individuals as a challenge to quit. A company might, for example, promise an employee a bonus of $1,000 if the employee quits smoking and continues to abstain for a period of six months. This kind of money is a justifiable reward when the savings gained by the employer are considered. A national survey of public (mostly governmental) organizations has revealed that many are giving incentives and other advantages to employees in terms of preferred treatment in cafeterias or snack rooms; offices or workspaces; group life, disability, and health insurance programs; and even decisions about whom to hire in the first place.[50]

SUMMARY

Obviously, the physical factors surrounding an individual at work can affect the individual physically and psychologically, and sometimes in productivity. From a physical point of view, damage may occur to all of the sensing organs in particular but also to the entire body in general. Hearing loss is one example. Although this chapter has not discussed the dangers of pollution (other than smoking) in the air, water, and materials around an employee, pollution obviously can cause illness, discomfort, nonproductivity, and even death. Health literally is affected by climate conditions. The ideal situation would be, of course, for the climate to be physically safe and comfortable for maximum effort to be extended.

Psychologically, the physical climate has the potential to promote tranquility or anxiety, coordination or dissension, friendliness or alienation, communication or confusion, the ability to cope rather than feelings of helplessness, and openness rather than secrecy.

The physical climate does not always affect productivity insofar as quantity is concerned, though it sometimes does. Levels of productivity may be improved 35 percent or more as a result of physical climate factors. The quality of performance is also frequently touched by factors in the physical climate.

It is important for us to be able to identify factors in our surroundings that influence us so that we are able to respond to these elements in a healthy way.

QUESTIONS TO CONSIDER

1. Should the goal of the management of an organization be to create a physical climate free of all detrimental objects and conditions? Why or why not?
2. What degree of responsibility does each employee have for providing and maintaining a safe, supportive work area?
3. What should an employee do who feels conditions in the climate are not safe or conducive to good performance?
4. Since some things in the organization's climate cannot be completely controlled (the weather, for example), what should the response be toward such hazards?
5. In many cases, protective devices are available to shield workers from hazardous conditions. Sometimes it is very difficult to get workers to use what is available. Why is this? What can be done about it?
6. What can an organization do (if anything) short of demolition and reconstruction if the open-office system or an executive row already exists and seems to be having negative effects?

7. When we observe an employee's performance, seldom can we say with absolute certainty that "the amount of noise she was exposed to caused her to make several mistakes" or "he becomes angry because it was too hot in the room where he was working." Why can't we be completely certain of the causes and effects? Is this set of conditions good or bad?

8. Is it ethical to require employees to work in areas where safety is uncertain?

9. Is it ethical to allow employees to smoke at work? What rights do nonsmokers have? What rights do smokers have?

CHAPTER CASE:
THE CASINO CRAZIES

At the end of the spring semester, you decide to take some time off and go to Atlantic City to visit Sam Chinn, an old high school friend who has recently taken a job with one of the large casinos in Atlantic City. Sam's title is Assistant Director, Governmental Relations. While taking a tour of the property, you ask Sam what his job entails.

"Well, government relations are crucial in the casino business," Sam points out. "I know that people have a preconceived notion that casinos are sleazy operations with all kinds of shady dealings. Here in Atlantic City, nothing could be farther from the truth. Every aspect of our operations is under constant, close surveillance by state and federal authorities. I guess it's needed, but let me tell you, it can get terribly frustrating. It's up to me and the people in my department to handle governmental contacts and keep things moving along as smoothly as possible."

"I guess I'm not entirely clear about why you find government relations frustrating," you respond. "Can you give me an example?"

Just then an employee dashes up to Sam with an urgent memo. As Sam reads it, you watch him go into a slow boil.

"You want to know why this job is driving me crazy," he says. "Well, just take a look at this!"

You read over the memo that Sam hands you. It's from one of the regulating bodies, demanding that the newly repainted and recovered walls in the casino's rest rooms and restaurants be redone.

"We decided to try to create a festive atmosphere," Sam explains. "So we literally spent a fortune on painting and papering—emphasizing bright reds, yellows, and oranges to create a party atmosphere. And some crazy government bureaucrat claims we can't do it. Just read this—they claim that the new colors are part of a plot to run people out of the rest rooms and restaurants and back into the casino to spend money! They want a redesign in blue

in *all* of those areas! I tell you, it's driving me crazy—it's a communist plot to destroy American business!" Sam wails.

Case Questions

1. From the standpoint of theory, why did the regulators insist on the change?
2. What should Sam do?

GLOSSARY

beautiful room: As applied here, a beautiful work area—one that has pleasing colors, lights, and furnishings.

conventional design: A floor plan or design in which people are separated from one another by walls and other permanent partitions. In this arrangement, the work locations of individuals and some groups of people will be set apart from the work areas of others by structural dividers.

decibel (dB): The unit used to measure the loudness of sounds.

executive row: Usually a series of offices occupied by managerial personnel. All managers are located within the series, and the offices are usually set apart from nonmanagerial personnel.

open office: An office or room plan in which there are no permanent partitions or dividers separating employees in a working area. Partial partitions may be used, but in most cases the plan is to allow people to be free to interact with others without structural interference.

physical climate: The environment in the workplace. The elements surrounding employees as they work, including such things as the air, temperature, noise, lighting, and humidity, as well as the physical objects, including furniture, machinery, and windows.

ugly room: A work location in which the colors and other decorations are unattractive, the lighting is inadequate, and furnishings are poorly suited to the work situation.

visual stimuli: Things seen by the eye that cause reactions, moods, or behaviors in individuals.

Chapter 8

Perception and the Individual

OBJECTIVES

- To understand the importance of positive self-esteem as a factor in human behavior
- To discover how self-esteem is developed
- To identify managerial actions that will lead to more positive self-esteem
- To consider the values of rewards and recognition
- To see how role perceptions are established
- To confront the problems occurring with role identification
- To learn what locus of control is and how it influences behavior
- To discover the value of communicating high expectations to others

A CASE TO CONSIDER: DAVID ADDISON— AN UNEXPECTED SUCCESS STORY

Brian McKenzie can hardly believe his ears. He has just been told by one of his friends who works at the Hidelburg Corporation (a local farm equipment manufacturer) that David Addison has been promoted to general supervisor in charge of welding and related activities. McKenzie had watched Addison grow up; they had lived next door to each other.

David is the son of Lucille and Mel Addison, who both held blue-collar jobs with area businesses. The Addisons used to leave home for work each morning before their children, David and his younger sister Melanie, left for school. The children were required to get themselves ready and travel to school independently. David would pack their lunches; he was also responsible for watching after his sister when they got home from school until their parents arrived home from work. The Addisons showed little concern for

their children and often did not get home until the early evening. McKenzie had heard rumors that the senior Addisons had often stopped at a local tavern and spent time with friends before going home.

The Addisons had seemed to do very little to help or encourage their children. When they were at home, they had spent most of their time watching television or talking on the telephone. The parents were frequently heard to criticize their children by saying such things as "You are as lazy as anyone I've ever known" or "You really are stupid."

McKenzie remembers the Addison children as shy, rather introverted, and lacking in self-confidence. He never really expected either of them to amount to anything. They both seemed to be heading toward being nonproductive, incapable individuals who would probably wind up being cared for by the welfare system.

Two turning points in David Addison's life kept McKenzie's prediction from coming true. First, when Addison was a senior in high school, his guidance counselor took an interest in him, discovered that he had mechanical abilities, and helped him to get admitted to a trade school when he graduated from high school. Addison gained skills as a welder and was employed by the Hidelburg Corporation upon completion of his trade school training.

Second, Addison's first boss at Hidelburg—Phil Turnley—identified Addison's potential and served as his mentor. Addison's skills developed rapidly under the expectant eye of Turnley. When Turnley was promoted to a higher position, he recommended Addison as his replacement. Again under Turnley's tutorage, Addison blossomed as a supervisor. His subordinates and peers watched him develop confidence and ability under Turnley's approving guidance. When Turnley received another promotion, he again suggested that Addison follow in his previous position. Addison's performance is living up to the level Turnley had anticipated.

It was at this point that Brian McKenzie learned of David Addison's successes and his change in the way he viewed himself, his role, and his life opportunities. If the information McKenzie has received is correct, Addison is planning to take college classes at night. He seems to have set his mind toward other promotions.

As McKenzie reflects on what he has heard, he expresses an interest in knowing what Lucille and Mel Addison must think about their successful son. McKenzie would also like to know what happened to Addison's sister Melanie. The last time he heard anything about Melanie, she had just divorced her second husband, was unemployed, and was indeed living on welfare.

Case Questions

1. According to the information given in the case, how would you describe the self-concept David must have developed from his early years to the present? How did his self-concept change? Why?

2. How did the expectations of other people influence the way David behaved? How did expectations of others affect Melanie?
3. In what additional ways (besides their expectations) did the people around David affect his performance and behavior?
4. What lessons should we learn from the events in this case?

* * *

WHAT YOU SEE IS WHAT YOU GET

Behavior in the workplace is not only the result of the needs and drives of the people present; it is also a product of the perceptions of everyone involved. Employees, for example, have perceptions about themselves, the people around them, the roles that are to be played, and the sources of control and power, among other things. These perceptions influence the outlook and the actions of each employee.

Perception is a sensory experience in which an individual observes a behavior, event, or condition; forms interpretations of the factor observed; develops attitudes; and allows the processed observation to become a factor influencing his or her behavior. Perceptions are achieved for all aspects of the individual's environment (self, others, production components, customers, the general public, and so forth). Perception is not necessarily reality; that is, perceptions are not always accurate or correct. It is the worker's perception that influences personal behavior, however, and not so much the real phenomena. Perceptions are real in their consequences.

If you have a job, it's likely you've heard an employee say something such as this: "I can tell that the boss really doesn't like me. I've noticed that she never smiles or speaks to me—and she does to everyone else." Notice that this perception came about from the employee's observation of the boss's behavior. The observation was "processed," and the perception ("the boss doesn't like me") was the result. Notice also that this perception may or may not be true, but it will be what guides the hypothetical employee's behavior regardless of the objective truth. In this case, the employee may finally quit because the perception is that "the boss doesn't like me, and I'll never get ahead around here."

Perception occurs in a fairly consistent sequence. First, the individual encounters environmental factors—other people, events, circumstances, and conditions. Observations are mentally photographed by the individual. From these observations, interpretations or judgments are made about the factor encountered and how the factor observed will be remembered by the person. Attitudes are formed as a result of the encounter and the subsequent

analysis. From the attitude comes a behavior pattern. Figure 8.1 summarizes the perceptual process.

Objects in the environment may be changing continually. As a result, perceptions must be constantly reforming, although perceptual changes may be slower to occur than actual physical or interpersonal modifications. To illustrate perception and how it affects attitudes and behavior (performance levels), three major areas of perceptual influence will be discussed. The first is a review of self-perception and how individuals come to view themselves. Self-perception directly relates to the perceptions of other individuals in the work environment, as will be seen momentarily. The individual's perception of roles to be played is the second area of focus. The individual employee's perceptual view of who or what is in control of the individual's fate is the third area of investigation.

PERCEPTIONS ABOUT SELF AND OTHERS

Perhaps the most fundamental set of observations and interpretations is related to self-perception (the development of self-concept or self-esteem). Self-esteem (which comes from self-perception) has been defined as "an attitude of approval or disapproval, an indication of the extent to which the individual believes self to be capable, sufficient, and worthy."[1]

Self-esteem, or positive self-perception, results when two things occur. First, the individual experiences times of achievement in which good things are accomplished. After accomplishments are completed, the individual sees the successes and accepts them, attributing some of the accomplishment to such things as skill and effort that the individual has contributed. The positive evaluation of self leads to a chain of attitudes and behaviors.

In one study of self-esteem, it was revealed that individuals high in self-esteem also have the ability to work independently quite successfully.

FIGURE 8.1. How Perception Works

Factors in the Environment	Observation	Interpretation of Observations	Attitude Development	Behavior
Individual, Event, Circumstance, or Condition	(As a Result of Encounter with Environmental Factors)			
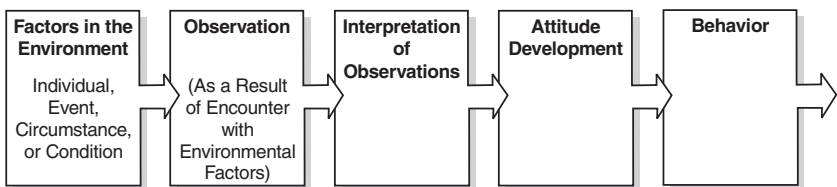
Source: Adapted from Arthur W. Combs and Donald Snygg, *Individual Behaviors: A Perceptual Approach to Behavior,* Revised Edition (New York: Harper and Brothers, 1959), 240 *ff.*

High self-esteem individuals become more self-governing and do not require as much in the way of attention and motivation from external sources. Low self-esteem individuals, on the other hand, tend to (1) perform less effectively under stress, (2) be more easily influenced through persuasion, (3) engage more frequently in role modeling (following the behavior of others), (4) show less initiative and confidence, (5) be less ambitious, and (6) are more likely to be influenced by peer group interaction and situations in which teamwork is a common pattern.[2] In addition to being able to be independent when needed, the high self-esteem person usually knows when to call upon others for help and does so without hesitation. Colleagues and peers, as well as supervisors and subordinates, are seen more as helpers than as threats. On the other side of the issue, the high self-esteem individual is more likely to offer to help others than is the low self-esteem person. The high self-esteem worker recognizes contributions that can be made and is willing to provide assistance without feeling personally threatened.[3]

Think back on high and low self-esteem people you know. Are these statements true of them? How is your own self-esteem level? Complete the Personal Feedback exercise that follows to measure your self-esteem.

The Success-Failure Model

A fruitful exploration of self-concept is the success-failure model (see Figure 8.2). In keeping with the basic model of perception in Figure 8.1, the success-failure model begins with the interaction of an employee with the external environment. If the interaction is good, the individual will normally experience success. If success is the interaction outcome, the individual perception of self is positive. The individual views self as being liked, wanted, acceptable, able, and worthy. A self-concept based upon dignity and integrity is implemented. Self is seen as capable of meeting the challenges that may be encountered.[4]

If an individual perceives the interaction with the environment as successful, attitude and behavior will be affected in many ways. Success seems to breed success because the individual who has experienced success devel-

FIGURE 8.2. The Success-Failure Model
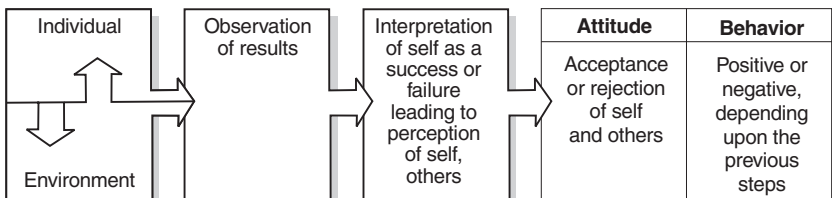
ops an optimistic outlook and anticipates future success. This optimism tends to aid in the achievement of positive expectations. In addition, the optimistic outlook coupled with previous successes builds a reservoir of strengths to draw upon when negative experiences are encountered. As a result of positive experiences and perceptions, the successful person:

1. Is open and ready for new experiences
2. Has the ability to admit to and cope with the existence of unflattering things
3. Can remain more objective in analyzing data because there is less need for self-defense
4. Is capable of tolerating unsolvable problems
5. Is capable of experimentation and creativity as a result of inner security and strength
6. Achieves a higher degree of independence from social and physical forces as a result of previous successes
7. Has a high regard for others

PERSONAL FEEDBACK
Test for Self-Esteem
Your Perception of Yourself

How good is your self-esteem? By truthfully answering the following questions, you can get an estimate of your self-esteem. This is a relative measure of how you feel about yourself. In the blank space next to the number that appears by each question, place the number of the statement that most accurately reflects your feelings.

4 if the statement is always or completely true
3 if it is usually or mostly true
2 if it is occasionally or partly true
1 if it is seldom or rarely true
0 if it is never or not true

1. _____ I get along well with most other people.
2. _____ I am growing and changing positively.
3. _____ I have good friends.
4. _____ My physical health is sound.
5. _____ I am satisfied with my physical appearance.
6. _____ I handle difficult interpersonal relations well.
7. _____ I listen to others.
8. _____ The people who count listen to what I say.
9. _____ I make good decisions.
10. _____ My life has been a good one.
11. _____ My sex life is good.
12. _____ I have a sense of humor.
13. _____ I enjoy my work (or school).
14. _____ I am happy most of the time.
15. _____ I have important objectives to accomplish in life.

16. _____ I have already accomplished a lot at this point in life.
17. _____ I am highly motivated.
18. _____ If I had my life to live over, there are only a few things I would do differently.
19. _____ I control my own destiny.
20. _____ I listen to other people, but I make up my own mind.
21. _____ I let people know what I think about an issue.
22. _____ Each day's experiences are worth the time I have traded for them.
23. _____ People seek me out as a friend.
24. _____ People seek my opinion.
25. _____ I am happy with my physical surroundings at home.
26. _____ I really wouldn't want to be anybody else.
27. _____ I feel comfortable meeting new people.
28. _____ I like doing something different.
29. _____ I handle stress well.
30. _____ I don't worry about things I can't change.
31. _____ I'm organized.
32. _____ I'm persistent and don't give up easily.
33. _____ I am not overly sensitive to others' opinions of me.
34. _____ I relate well to people of all cultures.
35. _____ I am flexible.
36. _____ I like to stop and smell the roses.
37. _____ I do not yield to excesses; for example, I do not eat too much, drink too much, or smoke too much.
38. _____ I'm a kind person.
39. _____ I can laugh when the joke's on me.
40. _____ People of the opposite sex find me attractive.

After you have responded to each statement; add the total points to determine your self-esteem score. A score of 130 and above indicates a good, positive self-perception. If you scored yourself at 145 or more, you may want to question whether you have been unrealistically high in your evaluation. Scores of 129 or lower may suggest that you need to work on increasing your self-esteem.

Source: James M. Higgins, "Your Perception of Yourself," *A Manual of Student Activities in Human Relations,* copyright © 1982, Random House, used by permission of McGraw-Hill, Inc.

In other words, the adequate personality (the one who has experienced success) has a high perception of self and others, and this perception results in an open, positive set of attitudes and actions (see Figure 8.3).

FIGURE 8.3. The Successful Performance Model
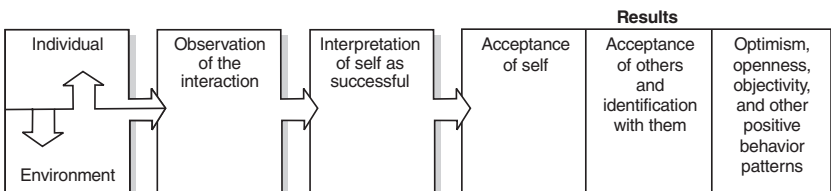
Think back on our discussion of David Addison in the chapter's opening case. One explanation for this "unexpected success" may be that the successes David experienced as a result of his caring high school counselor and his encouraging mentor served to raise his self-esteem. Do you think he's now performing as a high self-esteem person?

If the interaction experience results in failure, however, a completely different set of perceptions and behavior patterns may result. The individual who, through an assessment of personal experiences, sees self as unsuccessful eventually comes to feel unworthy, unwanted, unacceptable, and incapable. A low self-concept results in difficulty accepting self and identifying with others. The resulting behavior is evidenced in several ways. The self-condemned individual may enter into a continuously belligerent, aggressive pattern to enhance self and overcome negative perceptions. On other occasions, the failure-oriented individual may withdraw from interaction and may give up in despair. Sometimes the experiences and perceptions become so traumatic that the individual behaves neurotically or psychotically. Whatever the case may be, the level of self-confidence, self-acceptance, and interpersonal identification is very low, and the resulting behavior tends to be uneasy and disturbed (see Figure 8.4).[5]

It is probable that the fear of failure, the fear of change, the fear of being rejected, and the fear of not being liked and accepted are learned in early childhood. When punishment, criticism, or other negatives are received in return for poor performance, people quickly feel the discomforts and are discouraged from repeating their performances. Individuals can reach the point that they are afraid to do anything. The individuals who are in this situation become unproductive as a result. Some people say that the greatest single obstacle to success in adult life (work life included), is the fear of failure and the belief that self is inadequate for the demands of the situation.[6]

When you have managerial responsibilities, you will quickly notice that some of the nonmanagement people who work for you will closely fit this pattern. One of the authors remembers Charlie, a typical example. Charlie was working for a large utility company and after nearly thirty-five years had never been promoted beyond a semiskilled job. Charlie was one of the bellig-

FIGURE 8.4. The Failure-Based Model
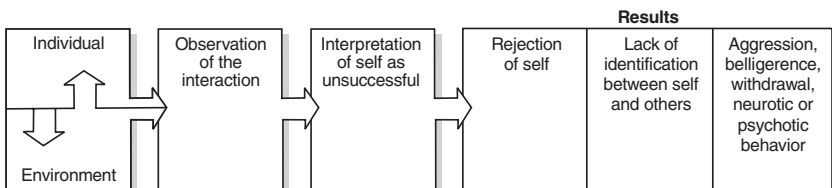
erent, low self-esteem type of people. Nothing management did was right. All of his co-workers were "stupid," and even the safety rules established by the organization were "dumb." Why did Charlie act this way? We can guess that he was trying to bolster his lagging self-esteem by putting others down.

As can be readily seen, the results of an individual's interaction with the surrounding environment determines to a great degree the individual's self-perception. The self-concept that develops shapes attitude and behavior.

It has been observed that in organizations with good performance results the people who make up the organizations have good self-perceptions. Individuals in peak-performing organizations have good self-ideals (they make decisions and adjust their behaviors to be more like the person they want to be), good self-images (they see themselves as peak performers), and good self-esteem (they like what they see in themselves).[7]

The Johari Window

Luft and Ingham have developed a concept, known as the Johari Window, that helps individuals discover more about their perceptions of themselves. The concept also helps individuals understand the behavior of self and others.

According to Luft and Ingham, there are four parts of the personal window that account for self-perceptions. There is the *public arena,* which includes the individual's knowledge of personal attitudes and behavior; this knowledge is also recognized by the people who surround the individual. The *private arena* contains perceptions the individual has about self that are not known to others. A third part, *the blind arena,* is not recognized by the individual but is known to others. Finally, there is the *unknown arena,* in which neither the individual nor others are aware of perceptions that may be held about the individual[8] (see Figure 8.5).

FIGURE 8.5. The Johari Window—A Means for Analyzing Perception

	Known to self	Unknown to self
Known to others	Public	Blind
Unknown to others	Private	Unknown
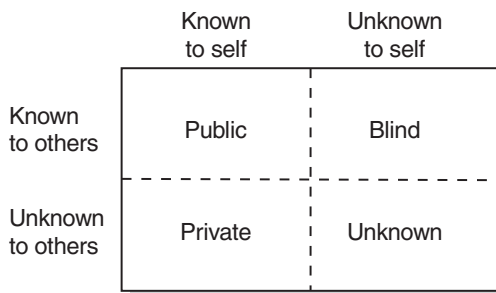
Source: Joseph Luft, *Group Process: Introduction to Group Dynamics,* Second Edition (Palo Alto, CA: National Press Book, 1970).

The more we can recognize our own perceptions of ourselves, the more we can alter, improve, or support the way we think and act. Since we know about our public and private arenas, we can let positive perceptions guide us to constructive performance while we work to improve the negative we find.

The feedback that we can get from others about our blind arena gives us insight into the perceptions that others have so that we can enhance or alter our behavior or take whatever steps are needed to have positive attitudes and behavior. The more we can cultivate this type of feedback, the more we will benefit. The way we react to feedback and the way we reward it will influence the willingness of others to confide in us what they see. From feedback, we may also discover perceptions we wish to change or clarify. We may engage in public relations programs to change the perceptions others have of us.

The unknown perceptions are difficult to define and analyze. If we wish to influence our attitude and behavior, we need to dig around to discover as much as possible about the unknown. We need to engage in self-audits as well as seek assistance from those around us.

The Transactional Analysis Model

Another important approach related to the development of self-perception and its impact upon behavior is the transactional analysis concept. According to the theory, as first proposed by Eric Berne, much can be discovered about an individual by analyzing the type of interactions (transactions) engaged in.[9] According to Thomas Harris, who has popularized the concept, the type of transaction an individual uses in relating to other people is a consequence of the individual's life position at a particular moment (life positions do change at times).[10] Life positions are really types of perceptions of self and others. In Harris's view, there are four basic life positions (see Figure 8.6)—"I'm not okay, you're okay," "I'm not okay, you're not okay;" "I'm okay, you're not okay;" and "I'm okay, you're okay."

The transactional analysis life position is a function of the performance of an individual and the stroking (attention) received from the other party or parties involved in a situation. The assumption is that all people want stroking, preferably positive stroking (praise, encouragement, promotions); but if positive stroking is not given, people seek negative stroking (penalties, reprimands, etc.). The worst possible consequence would be to receive no stroking at all from a transaction.

The "I'm not okay, you're okay" life position is the starting life position for most people in this society (see Table 8.1). It results when the individual is doing little or is doing poorly but nevertheless receives positive stroking from a parent or other supportive individuals. Some individuals may never break out of this life position. "I'm not okay, you're okay" individuals are likely to participate in game playing, giving up and withdrawing, or being compliant to the wishes of others. Emotional reactions are frequent, as the

FIGURE 8.6. The Life Positions of Transactional Analysis
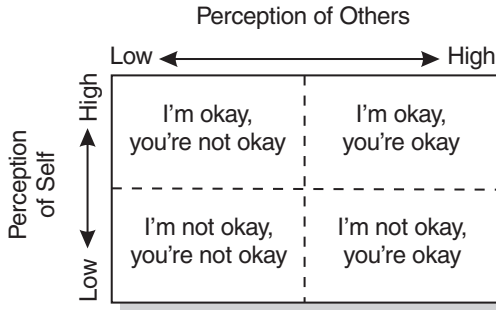
Perception of Others

Source: Tables and text, pp. 39-41 from *I'm OK—You're OK,* by Thomas Harris, MD, copyright © 1967, 1968, 1969 by Thomas A. Harris, MD. Copyright renewed 1995 by Amy Bjork Harris. Reprinted by permission of HarperCollins Publishers, Inc.

TABLE 8.1. Transactional Analysis Life Positions—How They Are Developed and What the Behavior Becomes

Basis of Development	Interpretation	Effects of Interpretation
Stroking from others received for behavior that is not particularly deserving	I'm not okay; you're okay	Game playing, withdrawal, being compliant to the wishes of others
Actions that receive no stroking	I'm not okay; you're not okay	Giving up hope, resigning self to just getting by, game playing
Heavy negative stroking at an early age	I'm okay; you're not okay	Self-stroking, growing hardened toward others, getting tough, blaming others, committing crimes
Good performance that receives positive stroking	I'm okay; you're okay	Intimacy, openness, helpful behavior toward others, constructive actions

Source: Tables and text, pp. 39-41 from *I'm OK—You're OK,* by Thomas Harris, MD, copyright © 1967, 1968, 1969 by Thomas A. Harris, MD. Copyright renewed 1995 by Amy Bjork Harris. Reprinted by permission of HarperCollins Publishers, Inc.

child part of the personality is dominant. Other people are perceived positively because they provide attention, but the individual feels that his or her actions are unworthy of attention.

The "I'm not okay, you're not okay" person basically receives no stroking from others (or perhaps negative stroking to a small degree). Because there is no good reinforcement received, this type of individual develops a

negative perception of self and others. "I'm not okay, you're not okay" individuals tend to feel useless, give up hope, and struggle through life.

"I'm okay, you're not okay" is a position that results from very unfortunate circumstances—too much negative stroking—to the point of being abusive while an individual is young. The child may be beaten or given such treatment that other people become perceived as "not okay," and the "I'm okay" feeling is really a false assessment that develops as a defense mechanism. "Everyone else is out of step, and I'm the only one that is right" is the position reached here. Also, "I'll pat myself on the back and take care of myself, since no one else will" becomes a part of this philosophy. The "I'm okay, you're not okay" position leads to self-stroking, false pride, a hardened attitude toward others, and the tendency to blame others for things that happen. The habitual criminal is often said to have an "I'm okay, you're not okay" feeling about self and others.

The most desirable life position is "I'm okay, you're okay." This positive perception phenomenon results when two things occur: the person involved performs satisfactorily, and people nearby give positive stroking as a result of the performance. In this way, both self-perception and the view of others are affirmative. When this set of perceptions occurs, people can establish open, honest relationships. People communicate accurately, decisions are made objectively, and constructive transactions take place on a very positive plane. The ultimate goal for transactional analysis would be to reach the "I'm okay, you're okay" state of self/other perception.

Summary of Self-Perception

Self-perception obviously is an important factor shaping attitudes and behavior. The effects of the way individuals view themselves cover a wide spectrum of relationships and behaviors. If acceptance of self, ability to accept and relate to others, openness, objectivity, increased rationality, greater capacity for dealing with unsolvable problems, and stronger inner security (to name a few) are desirable outcomes, those who manage other people should attempt to foster positive views of self for each employee.

Managerial Actions for Better Self-Perception

Let's now think from a managerial perspective. What can a manager do to help promote a positive view of the self on the part of each employee? There are, in fact, several constructive managerial steps, and all of them are ones you can readily do as a manager:

1. Since it is important for success to be experienced, it is imperative to assign to each individual work within the employee's ability to perform. It

is essential to carefully match the skills and abilities of individuals with their assigned jobs.

2. Every individual should seek a clear definition of job responsibilities before beginning a task. Energies can be devoted more carefully so that successful outcomes are more likely.

3. Essential skill and attitudinal development can be provided through training prior to performance.

4. Workers can be allowed to see the positive results of their efforts so that they can achieve a state of motivation to perform better. The viewing of good results can be a strong encouragement to the worker.

5. Feedback based upon performance outcomes is absolutely essential. Reports presented on successful performance help build a correct mental state. Evaluations of substandard performance must also be communicated so that future improved performance will result.

6. Rewards and commendations for good performance provide the positive stroking that significantly affects self-perception. It should be remembered that when commendation is not appropriate as a result of poor performance, constructive criticism and negative feedback are useful in that negative stroking is preferred over no stroking at all.

7. Arrangements can be made for individuals with lower self-perception to work in interactive groups where teamwork is called for. Group interaction enhances an individual's opportunity for improvement in self-concept while receiving support and encouragement from peers.[11]

8. Managerial actions affecting the physical appearance of employees will also affect the worker's self-esteem. Good grooming may be a contributing factor. Research has shown that the wearing of uniforms that identify the employee with the employing organization may be a step to good esteem as well as to the feeling of being a part of a team.[12]

ROLE PERCEPTION

A role is a pattern of behaviors expected of an individual by others who have contact with that individual. The more relationships an individual encounters, the more roles the individual will be expected to play. A woman who is in a middle management position, for example, will have a role as a follower to one or more higher level managers, will be a leader to one or more employees, will be a colleague to other middle managers, may serve a role as a consultant to managers in other departments, and may be a member of an informal group of managers who have lunch together frequently. In her off-the-job hours, this woman may have other roles, such as mother, wife, daughter, and community volunteer. Each of these roles carries its own unique demands and expectations.

Role perceptions are an individual's view of the obligations required to fulfill the expectations of others. In the managerial situation mentioned above, the manager may get formal information from each of the groups or from individuals in specific ways (job descriptions, departmental memoranda, notes left on a bulletin board, letters, etc.). In many situations the expectations will be communicated through less formal means (a frown, a raised eyebrow, a whispered conversation).

Role perception is the interpretation of responsibility to each of the relevant publics that an individual serves. The perception may be accurate at times and inaccurate at others. Nevertheless, it is the individual's perception of responsibilities that becomes the major factor influencing the individual's behavior. As shown in Figure 8.7, the role perception pattern fits the mold of other types of perception. There must be some kind of interaction resulting in an observation that is interpreted by the receiver. The recipient then transforms the interpretation into attitude and behavior patterns.

Several problems may surface for the role player in the perceptual process. Problems may include ambiguity, unrealistic or conflicting demands, demands inconsistent with personal values, and role overload. Role ambiguity simply means uncertainty about what an individual is expected to do for one or more individuals or groups. Ambiguity can be a result of many factors—those that are a fault of the communicator as well as those for which the receiver may be to blame. It is management's responsibility to give clear information regarding what is expected. "John, I'll need you to take over the Cheever account" may not be enough information about role expectations. It is the receiver's responsibility to reduce ambiguity by asking questions to determine what's really expected.

Unrealistic demands can be expectations that are impossible to fulfill because the requests contain inconsistent features—requests that are illegal or that demand unavailable skills, and so forth. In one organization, for exam-

FIGURE 8.7. The Process of Role Perception

Interaction	Observation	Interpretation	Results	
			Attitude	**Behavior**
Communicated behavior expectation from one or more sources	Receiving of expected behaviors	Identification of perceived expectations of others	Acceptance or rejection of role position or compromise	Behavior positively related to expectation; behavior ignoring or refuting the expectation; neutral behavior

ple, the boss's secretary was put into an extremely unrealistic situation when the boss insisted that 500 pages of manuscript be typed in a few days' time—never suspecting that the task was impossible.

Conflicting demands occur when the expectations of one group are at odds with the demands of another group. If a mid-level manager asks a supervisor for an increase in the performance of a set of tasks, while employees ask for more time to accomplish a related project, a conflict may develop for the supervisor. Simultaneous demands may be difficult to integrate. Many women have recently become concerned that their roles as business-people may be inconsistent with their roles as wives or mothers.

Demands inconsistent with personal values would be incongruencies between personal goals or priorities and the demands of others. An employee might be asked to postpone personal goals for the good of the company, or an employee may be requested to do something not in keeping with his or her conscience. Role overload would occur when the expectations of different groups and individuals collectively reach the point where performance cannot be completed within a satisfactory time frame, within a permitted budget, or in the quantity desired.

Ways to Improve Role Perception

A manager can do many things to help others improve their perceptions of roles. Job descriptions can be communicated in enough detail to explain specific job responsibilities and organizational expectations. Employees may be given assignments in keeping with their known abilities and value systems. A manager can serve as a buffer to keep groups from placing unreasonable volumes of demands on workers—to keep the other managers, outside clients, and spans of supervision beyond the abilities of the worker (to name a few) from getting carried away. Managers can also help others negotiate more realistic responsibilities where needed. Counseling and support programs may be beneficial where the problems are personal in nature.

Those who are on the receiving end can do much to help themselves where role perceptions are involved. Assertiveness, which has been defined as communicating significant information to others for the mutual benefit of all parties, may clarify and mediate responsibilities. Assertiveness may involve raising questions, asking for more information, or giving opinions so that positions and issues can be clarified.

We all know of cases in which people never learned what was expected of them because they were reluctant to ask. Realistic, compatible demands may be negotiated. Unrealistic demands can be rejected in many instances. Even when the boss makes an unrealistic demand, the demand can be tactfully rejected. Lydia, for example, was a real expert at doing just that. When her boss gave her more jobs, Lydia would look at her work assignments, decide which ones were most appropriate for her to do, and approach her boss

with a realistic schedule of what she could do and a plan for handling the remaining work, either by deferring it or delegating it to someone else.

Because role perception shapes the sense of responsibility and obligation toward others, these views become an extremely influential factor in shaping attitudes and behavior.

PERCEPTION OF WHO CONTROLS OUTCOMES (LOCUS OF CONTROL)

In recent years, it has been recognized that another perception is very important in shaping behavior at work—the perception of who or what controls outcomes of behavior. This concept has come to be known as the internal-external issue or the locus of control concept. Before going any farther, take the Personal Feedback Rotter Locus of Control test. The individual who perceives that the things that are done and the results of personal actions are really within one's own control is known as an internal person. This person feels that fate is a result of personal efforts. On the other side of the pendulum is the external person. This person feels that the things that happen (promotions, commendations, penalties) are controlled by external factors (the boss, the economy, competitors, etc.) and that the individuals have no control over these influential elements. The external individual sees self as a victim of the environment, while the internal individual sees self as the initiator and source of influence. The internal person is more likely to have positive self-esteem as well.[13] An individual's perception of the locus of control is readily measurable through a process of testing (see the Rotter Locus of Control Scale).[14]

PERSONAL FEEDBACK
The Rotter Locus of Control Scale

Instructions for the Rotter Locus of Control Scale: This is a set of items to find out the way in which certain important events in our society affect different people. Each item consists of a pair of alternatives lettered "a" or "b." Please select only one statement from each pair which you strongly believe to be more true rather than the one you think you should choose or the one you would like to be true. This is a measure of personal belief; obviously, there are no right or wrong answers.

Your answers to the items on this inventory are to be recorded on the answer spaces which follow.

Please answer these items carefully but do not spend too much time on any one item. Be sure to find an answer for every choice. Mark you choice for either a or b for each item.

In some instances, you may discover that you believe both statements or neither one. In such cases, be sure to select the one you more strongly believe to be the case as far as you are concerned. Also, try to respond to each item independently when making your choice; do not be influenced by your previous choices.

1.	a. Promotions are earned through hard work and persistence. b. Making a lot of money is largely a matter of getting the right break.
2.	a. In my experience I have noticed that there is usually a direct connection between how hard I study and the grades I get. b. Many times the reactions of teachers seem haphazard to me.
3.	a. The number of divorces indicates that more and more people are not trying to make their marriages work. b. Marriage is largely a gamble.
4.	a. When I am right, I can convince others. b. It is silly to think that one can really change another person's basic attitudes.
5.	a. In our society, a man's future earning power is dependent upon his ability. b. Getting promoted is really a matter of being a little luckier than the next guy is.
6.	a. If one knows how to deal with people, they are really quite easily led. b. I have little influence over the way other people behave.
7.	a. In my case, the grades I make are the results of my own efforts; luck has little or nothing to do with it. b. Sometimes I feel that I have little to do with the grades I get.
8.	a. People like me can change the course of world affairs if we make ourselves heard. b. It is only wishful thinking to believe that one can really influence what happens in society at large.
9.	a. I am the master of my fate. b. A great deal that happens to me is probably a matter of chance.
10.	a. Getting along with people is a skill that must be practiced. b. It is almost impossible to figure out how to please some people.

Locus of Control Scale

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

Add up the number of times you marked choice a and the number of times you marked choice b. The a items stand for internal and the b items represent external. Your inclination is reflected by the column you chose most frequently. If you checked each column five times, you are middle of the road.

Source: Julian B. Rotter, "External Control and Internal Control," *Psychology Today,* 5(1): 1971, 42, used by permission of the author.

The locus of control process of perception is shown in Figure 8.8. The procedure is a relatively simple one, whereby the individual interacts with environmental factors, makes observations about influencing factors, and translates observations into an attitude, which in turn is translated into behavior patterns.

As a result of research performed on the locus of control, it is possible to identify several different behaviors for internal and external individuals, as illustrated in Table 8.2.

As you reviewed the list in Table 8.2, something may have occurred to you: most managers are internals, and many of their subordinates are externals. How does this happen? Of course, it would be impossible to determine this for certain, but we can predict that the experiences that shape self-esteem (as discussed earlier in the chapter) are contributors. Perhaps managers simply have more experiences than do nonmanagerial employees that lead them to believe that they can control their fate.

Regardless of how it happens, if an internal manager attempts to discuss a problem with an external employee, miscommunication is likely to occur. One of the authors, an internal, recalls having the following conversation about attendance with Julie, an external employee who was frequently late for work.

MANAGER: Julie, I'm concerned. You've been late several times this week. A pattern like that isn't meeting job standards.

JULIE: But my clock didn't go off. . . .

MANAGER: Julie, you're going to need to take more responsibility. Get a backup clock if necessary.

JULIE: My mother's supposed to call me, but she forgot.

MANAGER: Julie, you've got to get control of your life.

JULIE: Besides that, the bus was late.

In this instance, no real communication is taking place. The manager is oriented toward taking responsibility, while Julie believes that outside factors control her fate.

FIGURE 8.8. The Locus of Control (Internal-External) Perceptual Model
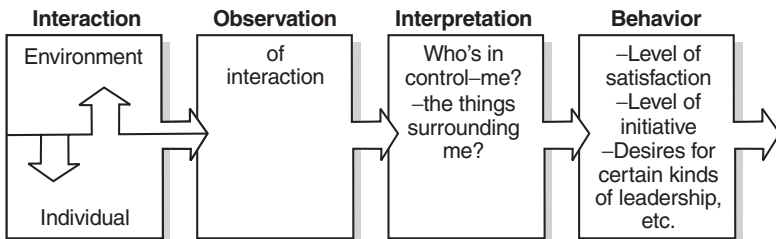
TABLE 8.2. Comparison of Behaviors Between Internal and External Individuals

The internal (I control my fate) individual:	*The external (things in my environment control me) individual:*
Is more satisfied with the results of personal efforts.	Is less satisfied with the results of personal efforts.
Would feel more satisfied in working under a participative leader and would be less satisfied with directive supervision than would externals.	Would feel less satisfied with a participative leader and would be more satisfied with a directive leader than would internals.
Would see a strong relationship between personal effort and personal output. The internal individual, as a result, would be more responsive to need-fulfillment motivational processes.	Would see a weak relationship between personal effort and personal output.
Will use personal persuasion and rewards to influence others.	Will use coercive power to influence others.
Will be more responsive to situations involving individual decisions.	Will be less secure in individual decisions.
Will be more open to input from the environment.	Will be more concerned about environmental change.
Will be more considerate of the needs of others.	Will be more concerned about personal welfare than the welfare of others.

Sources: See Terence R. Mitchell, Charles M. Smyser, and Stan E. Weed, "Locus of Control: Supervision and Work Satisfaction," *Academy of Management Journal, 18*(3), 1975, for some ideas about the effects of locus of control on behavior. See also M. W. Pryer and M. K. Distefano, "Perceptions of Leadership Behavior, Job Satisfaction, and Internal-External Control Across Three Nursing Levels," *Nursing Research, 20*(6), 1971, 534-537; and L. A. Broedling, "Relationship of Internal-External Control to Work Motivation and Performance in an Expectancy Model," *Journal of Applied Psychology, 60*(1), 1975, 65-70.

Behavioral Implications and Managerial Actions

The behavioral consequences of internal individuals seem superior in several respects to the external category. From a managerial perspective, it would seem desirable to facilitate development of an internal perception as much as possible in supervised individuals and to encourage the continuation of this philosophy in those who have already attained it. Delegating tasks to be performed individually, providing feedback and reinforcement as a result of specific actions, and the clarification of job responsibilities are a few methods of enhancing development of the internal control position.

THE PYGMALION EFFECT— IMPROVING PERFORMANCE THROUGH PERCEPTION

The perceptual process can be used very advantageously for the employing organization and the employee through use of the Pygmalion effect. The Pygmalion idea (also known as the self-fulfilling prophecy) is named for the

character in Greek mythology who saw a female figure carved in ivory brought to life because he thought of her as a living being. The Pygmalion effect as we know it today suggests that people give back to others the behavior they sense others expect of them. An athlete executes a play in a superior way because the coach expects it of him or her; a student excels in the classroom because his or her teacher communicates the belief and expectation that the student is capable of performing that way.

Although the expectation-to-behavior cycle may be positively oriented, negative expectations also result in negative performance. A parent who believes a child to be untrustworthy and communicates such a perception to the child may eventually create a juvenile delinquent. A boss who communicates lack of confidence in an employee may wind up disciplining or dismissing the employee receiving the negative perception. See Figure 8.9 for a picture of how the Pygmalion effect works.

FIGURE 8.9. The Perceptual Process of the Pygmalion Effect

Interaction	Observation	Interpretation	Results	
			Attitude	Behavior
One Person (a superior, subordinate, customer, etc.) communicates and expectation based upon perception	of communicated expectation	Determines level of self-concept and role perception	Concept of what must be done to keep positive perception	Attempt to live up to expectations of others to preserve positive or negative ratings
Positive perception and expectation communicated	of communicated expectation	Positive self-perception formed	"I can do" attitude developed	Positive performance to keep existing perceptions and expectations good productivity good cooperation
Negative perception and expectation communicated	of communicated expectation	Negative self-perception formed	"Others don't think I can do much"	Poor performance in keeping with perception poor productivity indifference

The Significance of the Pygmalion Effect

The significance of the Pygmalion effect rests in the idea that people frequently receive back from others (employees, children, colleagues, and so forth) the kind of behavior consistent with communicated perceptual expectations they send out. The manager who wants positive results must communicate positive perceptions of others to stimulate positive performance. The managerial implementation suggests that capable people should be selected for tasks and that the superior must communicate a positive belief in the ability of the capable subordinate. Frequently, performance may be below the potential of the individual because the individual has received low-level perceptions of ability. Too often, communicated expectations are below the actual capabilities of the performer, leading to performance below the employee's potential. Challenging expectations stimulate outstanding performance. Substandard perceptions tend to produce substandard performance.

SUMMARY

Little doubt exists that perception plays a major role in shaping the behavior of people in the workplace. Perception is how people sense something or somebody to be—even if the perception is not accurate. Perception occurs in a fairly consistent pattern. An individual encounters environmental factors—other people, events, circumstances, or conditions. The observed results in turn lead to interpretations or judgments. From these judgments come attitudes that eventually lead to behavior.

A very important perception is self-assessment. From self-assessment comes self-concept and self-esteem. Self-esteem means looking at self and judging that there is value and capability. Positive self-esteem results when an individual experiences successes and accepts self for having been successful. Self-esteem allows individuals to accept others as well; others are seen as less threatening when self-esteem is positive.

Transactional analysis provides a mechanism for self-analysis as well as a means for analyzing other individuals. The ultimate life position based upon transactional analysis is the "I'm okay, you're okay" position because this reveals self-acceptance as well as the acceptance of others. The "I'm okay, you're okay" life position is achieved by an individual when something good is done and positive stroking or recognition is received from others.

Role perception is another important perceptual event. A role is a pattern of behavior others expect of an individual, while role perception is the individual's assessment of what others expect. Role perceptions that are clear and realistic are likely to allow an individual to function more effectively. When the expectations of others are realistic, nonconflicting, consistent with personal values, and manageable, the end result is normally positive.

Locus of control, another perception, is sensing whether individuals control the actions and outcomes of their own lives. The internal person feels in control of the sources and outcomes, while the external person feels life events and circumstances are a result of outside forces. These perceptions also affect attitudes as well as behavior.

It is possible to use perception to an advantage when relating to other people. With the Pygmalion effect, positive expectations of another person are communicated. The positive message tends to build the self-esteem of the other person. This individual usually will try hard to live up to the positive expectations communicated by someone else. Perception plays a major role in shaping future behavior.

QUESTIONS TO CONSIDER

1. "Perception is more important than reality." What does this statement imply? What effect would the truth in the statement have upon a manager? If the statement is true, what problems do you see for those who manage?
2. Do perceptions stay the same or do they change over a period of time? Is this good or bad?
3. Since self-perceptions and life positions are so important, what can managers do to help their development in working toward positive interpretations? What can individuals do to develop good self-perceptions and life positions?
4. "Individuals who have negative self-perception and life positions do not have to continue with those perceptions." Is this true? Why or why not?
5. How can we learn more about our unknown self?
6. What kind of behavior would you expect from an "I'm not okay, you're not okay" leader? An "I'm not okay, you're okay" leader? An "I'm okay, you're okay" leader? Explain.
7. What kind of attention would an "I'm not okay, you're not okay" employee need? An "I'm not okay, you're okay" worker?
8. What are the most likely causes for incorrect role perceptions? Why do people make erroneous perceptions of the roles they are to play?
9. What factors and circumstances might lead an individual to become an external person? An internal person?
10. What messages does the Pygmalion effect concept have for today's manager?
11. Is it ethical to communicate high expectations of others just to get higher levels of performance?

CHAPTER CASE:
THE STATE HIGHWAY REVIEW BOARD

You have just completed your education and have been offered what seems to be a great opportunity. You will be working for a federal government agency that investigates safety-related complaints involving the highway system. Your unit is specifically charged with going out to local, state, and federal highway departments when complaints are filed, investigating problems, and finding solutions. Your new boss tells you:

> One of the reasons we hired you is the heavy-duty course load you took while in college—especially that course in human behavior. I'm sending you out to investigate what's going on at the state highway board review group. We've been called in on a sticky case there, and I'll be waiting for your ideas when you get back.

You tell your boss you can hardly wait to get started, and you set off for the highway review board's offices. When you arrive, you are met by Harold Macinac, who introduces himself as the director of the group. Macinac explains that the organization, although it is housed in an impressive-looking office complex, really has only two small groups of employees. The section heads are Margaret Ambrosini and Colleen Kinoshita.

The group itself functions as a coordinating body for highway boards throughout the state. Its mission is to coordinate review and expense practices for the individual boards to ensure consistency and legality of operations. It provides a number of informational programs for the reviewers and, more important, provides two services—legal research and zoning compliance information.

Because of the technical nature of the services it provides, the organization is generally valued and heavily used by the individual boards whenever they encounter zoning or legal problems. Macinac tells you:

> The problem is those two crazy supervisors we have working for us. Margaret handles legal affairs, and Colleen handles zoning. It seems I can't communicate with them. They're always making demands, and they say I don't understand them. I don't get it. Here they are, in beautiful offices, working a short, easy thirty-five-hour workweek, and they say they're unhappy. People must be nuts!

You ponder Macinac's statements and set off to begin your investigation. You ask about the supervisors' backgrounds and are told that Ambrosini is an attorney, while Kinoshita is a high school graduate who has worked her way up through talent and willingness to work. A similarity is that both believe, in a sense, that they serve two bosses. One boss is Harold Macinac, but

the other is Mal Dodson, chairman of the Association of Highway Employees, a union-like organization designed to protect the interests of highway employees. You are puzzled at the arrangement but set off to talk to the employees.

You begin your investigation by talking to Ambrosini, and you quickly learn that she has a totally different perception of the situation than you have heard before:

> I love my job. This was the first job I took out of law school. We had a single organization director then—doing both Mr. Macinac's and Mr. Dodson's jobs. He's since retired, but he was absolutely wonderful. He taught me all the ins and outs of the legal investigation job, and then, as he could see that I was eager to learn, he taught me his job as well—administration, a bit about zoning, and how to represent our organization in a whole variety of spots, like at the state legislature. When he left, there was no one to do his work so I just sort of took over. The work is great. Besides running a legal investigation group completely on my own, I represent the association with the legislature, speak before the legislature, and things like that. On the outside, I'm recognized as a real leader in the legal aspects of highway work. But not here! I get absolutely no recognition from the association. They think I'm still just a paper pusher, filling out forms and answering telephones and working a seven-hour day. Who do they think took over all the other work? And do you have any idea what my typical workweek is? It's between fifty and sixty hours! And when I complain, Mr. Macinac tells me I must be disorganized. How does he know? He knows nothing about my work.

You next talk to Kinoshita. Her situation is somewhat different:

> I was brought in as a receptionist, but it certainly hasn't worked out that way. I'd been here a couple of years when they changed my job, and I was told that I was to be trained to be the backup person for the zoning job. Before long, I was named acting zoning supervisor, and finally I became supervisor. When I was offered the temporary job, I asked about a raise and they said no. For some reason, they think it's an honor to be trained for management. I finally did get a little more money when I got the supervisory appointment, but it isn't really what I want. The problem is that I haven't been married long, I have a new baby, and I really want to spend time with my family. Worse yet, there are all kinds of new developments in zoning, and I have to take work home every night just to keep up. I've been trying—because I really need a job—but I'm just not sure how long I can take this.

Case Questions

1. What does role perception have to do with the problems in this case? What differences in role perception exist?
2. Are there any indications that role overload, role ambiguity, or conflicting demands exist? Explain.
3. What kinds of stroking, if any, seem to exist? What is the effect?
4. From the limited information given, is Harold Macinac an internal or an external person? What is Margaret Ambrosini? What is Colleen Kinoshita?
5. What needs to be done to correct problems in this case?

GLOSSARY

external person: An individual who thinks things, life events, and happenings are controlled by external factors, such as the boss or the economy.

internal person: An individual who thinks things, life events, and happenings are controlled by one's own abilities and actions.

life position: A form of perception in which interpretations of one's previous performance and the manner and amount of stroking received from others lead to interpretations of self and others.

locus of control: An individual's perception of whom or what controls the events in life and affects the outcomes related to personal efforts.

perception: A sensory experience in which an individual observes (experiences) a behavior, event, or condition, forms an interpretation of the experience, develops an attitude or frame of reference toward the object observed, and allows the interpretation to be a factor influencing behavior.

Pygmalion effect: A concept, named after a character in Greek mythology, in which an individual's performance is consistent with others' expectations. Those who sense high expectations give back high performance, for example. This concept is also known as the self-fulfilling prophecy.

role: A pattern of behavior expected of an individual by others.

role ambiguity: An individual's uncertainty about what others expect the individual to do for them or for others.

role perception: An individual's view of the obligations he or she has to fulfill the expectations of others.

self-esteem: An attitude of approval or disapproval or an indication of the extent to which the individual believes self to be capable, sufficient, and worthy.

stroking: The giving of attention psychologically, physically, or both to another individual. Stroking can be positive when the attention given is supportive and rewarding, and it can be negative when the attention is in a chastising or penalizing form. Stroking fulfills a common need among human beings.

transactional analysis: A method of studying and analyzing behavior that concentrates on the type of interactions an individual has with other individuals. Three parts of the human personality (parent, adult, and child) provide the mechanism for looking at past and present behavior. Recordings of past experiences are stored away for future reference.

Chapter 9

Personal Needs in the Workplace

OBJECTIVES

- To become familiar with the terms used to describe human needs
- To be able to identify individuals' needs
- To discover methods to fulfill existing human needs
- To learn how human needs affect behavior in the workplace
- To identify your own urgent needs
- To be able to apply the different needs theories to people in the workplace
- To benefit from the experiences of managers as they have worked to provide needs fulfillment

A CASE TO CONSIDER:
LISA LANIGAN, CPA

Lisa Lanigan, CPA, has reached a crossroads in her life. She has just been offered the position of managing partner of the Buffalo office of a major national accounting firm. She finds the offer to be rewarding in many ways. For one thing, the invitation recognizes the twelve years of hard work she has given to her job with the firm. The opportunity is satisfying, too, because it puts to rest some of her fears about being treated fairly as a woman in a very competitive organization. In her company, very few women work in major managerial capacities.

Although the offer is flattering, it is not without its problems. For one thing, the position would require Lisa to move from her Midwestern home area several hundred miles to a location where she knows only a few people and where she has no family. One of the nice things about her present position has been that it has allowed her to be near her parents and her sister and family. Although Lisa is quite independent of her relatives in many ways, she still looks to them for support. Because she works long hours at her existing job, her social life is limited. Her parents and sister are her best friends. She fears that the Buffalo position would curtail this closeness with her family.

Lisa has been thinking for some time now that she needs to give more attention to her personal life. Because she is a family-oriented person, she has given thought to marriage someday. Right now she is not romantically close to anyone. Lisa is concerned that her heavy commitment to her work is keeping her from a deeper relationship with someone else. The Buffalo job, if she should decide to take it, would demand even more of her time and concentration. She fears that developing her own family would be further jeopardized.

There's one other worry Lisa has: is she equal to the managerial requirements of the job she has been offered? She has previously exercised her supervisory skills on a small scale, but she's never had total responsibility for more than three or four people at a time. Can she provide the leadership a larger group of people would need on a continuing basis?

With these doubts and concerns weighing on her mind, Lisa isn't sure what she should do. Her decision is more than just a job decision—it's a decision about her life.

Case Questions

1. What are Lisa's career goals? Life goals? How well-defined are they?
2. What needs is Lisa's job now fulfilling?
3. How should Lisa go about analyzing the opportunity that has been offered to her?
4. Whom, if anyone, should Lisa involve in establishing her priorities and in making her decisions?
5. What actions might cause Lisa's concerns to subside?

* * *

CAN MY JOB GIVE ME WHAT I WANT?

Each of us as a human being has needs and personal goals. We recognize some of our needs and take care of them objectively, while we may respond to other needs subconsciously and spontaneously. A human need is a personal, unfilled vacancy that determines and organizes mental processes and physical behavior so that fulfillment can occur. Each of us possesses many needs, and those needs differ from person to person. The needs we have individually are quite varied, as are the way our needs are triggered. For example, most of us have known children—and adults, too—who "act up" to get attention. For these people, the unfilled vacancy is for attention; this vacancy in the person's life leads to action—in this case, "acting up" aimed at filling the vacancy.

From a managerial perspective, the needs of individual workers are very important. In the first place, it is unfilled needs that bring prospective work-

ers to an organization for employment. What kinds of needs can work fulfill? If we think for a moment, we will realize that there are many of them. Some people work primarily for money. Money, in turn, can be used to satisfy many other needs—for a new wardrobe or for a decent place to live, for example. Other people may tell you that besides money, work meets other needs—for creativity, for social contact, or for power. Thus, work can be a major source for meeting a variety of needs. Every new employee brings a set of expectations at the beginning of a work affiliation. It is these unsatisfied goals that provide mechanisms for motivating workers. Employees respond to opportunities to fulfill personal goals and objectives.

Need fulfillment opportunities are a primary factor in keeping turnover at a low level.[1] Employees whose needs are being met and whose continuing desires are promised future fulfillment are likely to want to stay with an organization. The degree of fulfillment of past and existing needs is also a method for measuring personal satisfaction. Satisfaction is gauged by identifying the strength of a need, then comparing the need strength to the amount of fulfillment provided (satisfaction equals the strength or desire for a need minus the amount of fulfillment actually provided).

The type of needs an employee has will in many ways shape the individual's behavior. The degree of individual initiative, the level of willingness to take risks, and the desire to climb the organizational ladder are specific results of the type and strength of unfilled needs. Even though what we know about needs is neither perfect nor complete, the role and importance of needs cause us to give serious, in-depth attention to the subject. For example, you may have noticed as you read the case that opened this chapter that Lisa Lanigan is a person with a complex mixture of needs, like most of us. Furthermore, needs may conflict with one another, as you may have felt was the situation with Lisa. Lisa is proud of her work and doing well has been a central concern in her life. The promotion and move are important because they recognize her efforts in the past and provide the advancement and challenge that will permit her to continue to meet the needs that are satisfied by her work. But what about her other needs—for security and love, for example? It appears likely that the move could threaten those needs. And what effect could threats to other vital needs have on Lisa's performance and satisfaction if she accepts the new job? As a leader, you will need to consider these issues both in managing your own career and in guiding the careers of others.

NEEDS THEORIES

Murray's Manifest and Latent Needs

A fairly significant amount of information about needs has been cultivated by a number of authors. One of the earliest investigators of needs the-

ory was Henry Murray, who wrote about manifest and latent need categories. To Murray, a manifest need is a desire that has been activated by a stimulus or cue. The manifest need is at work shaping the drives and behavior of the individual. For example, a particular work environment may stifle risk taking and creativity but encourage workers to meet the need to be with others by encouraging lunches in the company cafeteria or sponsoring a bowling league. Under such circumstances, workers' needs to take risks and to be creative may remain latent. Latent needs are those desires that lie dormant as a result of lack of stimulation by the environment. Latent needs can become manifest needs at any moment, however, if factors in the environment arouse them.[2]

The Maslow Hierarchy

Perhaps the best-known approach to needs is the one developed by Abraham Maslow.[3] Maslow identified at least five different types of needs and drew some conclusions about their relationship to one another. The five most pronounced needs, as he defined them, are physiological, security, love (or social), esteem, and self-actualization needs (see Figure 9.1).

Maslow's theories suggest that there is a hierarchy to these needs. The physiological need (the need for such things as food, clothing, and shelter), for example, is the most necessary of the needs and the one that captures first attention. When this need is relatively well provided for, security (physical and psychological security) needs become more urgent. As security needs are fulfilled to a satisfactory degree, love needs (both giving and re-

FIGURE 9.1. The Maslow Needs Hierarchy
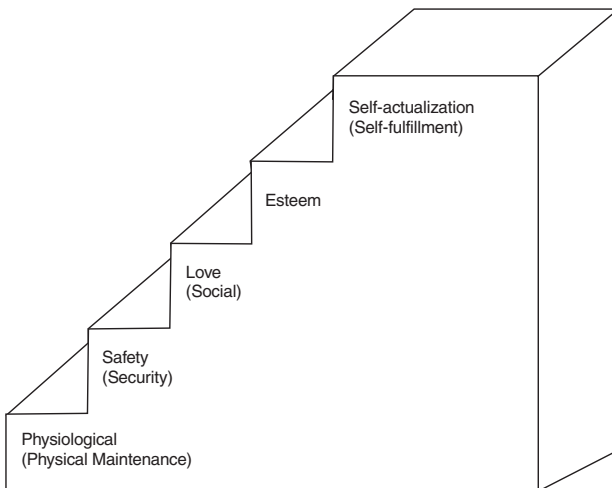
ceiving) become more important. When love needs are met, esteem (self-respect and respect from others) needs become urgent. When esteem needs are met, self-actualization (fulfilling what an individual is capable and desirous of becoming) is of major importance. Each filled need pushes the individual to the next higher level of needs concern.

Needs are seldom, if ever, 100 percent fulfilled; as a matter of fact, the physiological need is usually best satisfied, and the level of satisfaction diminishes as the hierarchy is ascended. Research has questioned the relationships among needs that Maslow proposed. The value of Maslow's hierarchy, however, is that it leads managers to recognize that different employees may be at different needs levels. Thus, one single set of motivators will not work for everyone, and the manager must use different motivational tactics with different employees.

This problem is particularly acute at lower levels in the organization. Managers who supervise nonmanagement employees (such managers are referred to as first-line supervisors) often find that they are supervising a number of employees who would be classified as being at Maslow's social needs level. Employees at the social needs level are among the hardest to supervise; for them, the important thing is to fit into the group. Usual motivators such as praise will not work with these employees because it makes them stand out from the group. Pressure from the supervisor is often ineffective with social needs employees, while pressure from the work group can be highly effective.

In contrast, employees at the next level—esteem—respond positively to praise because they want to stand out from the group, but they may be unmoved by group pressure. For example, the authors recall the case of Jill, a young secretary who was clearly at the social needs level. Although Jill was a good and conscientious worker, she would be quick to tell you that her primary motive for working was to enable her to have money for an attractive wardrobe for evenings out with her friends. Those evenings were important to Jill, and she literally lived for them. One afternoon, there was a particularly complex typing and setup job that came up at the last minute. Worse yet, the boss was on her way out the door to an evening seminar that could not be canceled. She left the job with Jill, instructing her to keep at it until it was finished, because it was due at 8:00 the next morning.

Poor Jill! She cancelled her plans most reluctantly and worked until nearly 10:00 that evening. The work was hard, but she did a good job. The next morning, Jill handed the report to her boss. The boss looked it over and was delighted at what she saw. She smiled and said, "This is great, Jill. You've done so well on this report, I'm going to give you the next one!" The question here, of course, is whether praise of this type will be an effective motivator for Jill, a social-needs-level employee.

If you will recall, back in Chapter 3, we talked about the different cultures existing throughout the world, and how these cultures resulted in varied values and behavior patterns. When something like the Maslow hierarchy is discussed, a natural question would be "Does the Maslow hierarchy apply to all nations and all cultures?" The answer to that question is, of course, "No." The model Maslow developed was based upon the American culture. Many of the nations in the Western world might have cultures that follow a similar pattern, but cultures in other parts of the world with different value systems may have different hierarchies.

The Chinese culture is a good example of the differences in the effects of cultures. In research Nevis did on individuals in the People's Republic of China, only four need categories were identified as goals for satisfaction, and the needs were shown to have different priorities than the American version had. While the American culture emphasizes fulfilling needs based upon individual ego paradigms, the Chinese culture stresses the determination of need importance in relation to society. As a result, there are only four need categories shown to be relevant in a Chinese hierarchy.

The need for belonging (the social need) is the most basic value in Chinese culture according to Nevis' research. Physiological needs are on the next step of the Chinese hierarchy. Safety (security) needs are third in the pattern, and self-actualization needs are at the upper end of the hierarchy. You will notice there is no category for self-esteem in the list. It's not so much what you think of yourself as it is what you do for others that is important in this culture. As such, self-actualization is defined according to the contributions made to society[4] (see Figure 9.2). Most of the models of needs we will be talking about in this chapter are based upon the American culture, but we would be well advised to rethink them as we apply them to other value systems and behavior patterns.

FIGURE 9.2. The Proposed Chinese Needs Hierarchy
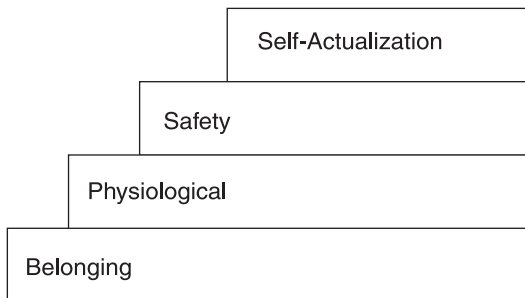
Source: Based upon materials by E. C. Nevis, "Using an American Perspective in Understanding Another Culture," *The Journal of Applied Social Behavior, 19*(3): 1983, 249-264.

Alderfer's ERG Approach

Clayton Alderfer took Maslow's concept and modified it in a couple of ways.[5] First, Alderfer condensed the types of needs into three categories:

1. The *existence need* (E), which consisted primarily of the physiological and security needs proposed by Maslow
2. *Relatedness needs* (R), which were mostly love needs and esteem needs involving recognition from others
3. *Growth needs* (G), which were composed of self-esteem needs and self-actualization needs

The ERG approach as developed by Alderfer departs from Maslow by hypothesizing that while the fulfillment of lower-level needs may cause an individual to seek fulfillment of higher-level needs, so the lack of fulfillment of a higher-level need (growth, for example) will cause a lower need (relatedness) to be sought to a fuller degree (see Table 9.1). This theory is helpful in explaining why employees who have been repeatedly denied promotion opportunities will say to you that they do not want to advance. It is common to hear, "I don't care about all that stuff; just give me my paycheck," from such people. The hierarchy not only works upward but also progresses downward when circumstances cause this to happen.

TABLE 9.1. Maslow and Alderfer Categories Compared

Maslow	*Alderfer*
Self-actualization	
	Growth
Esteem	
	Relatedness
Love (Social)	
Security	
	Existence
Physiological	
Needs must be filled before new needs become motivators.	Filled needs may cause concentration on higher-level needs.
	Needs that cannot be filled may focus attention on lower-level needs.

Herzberg's Motivation and Hygiene Factors

Another perspective on human needs was provided by Frederick Herzberg. He wrote an article titled, "One More Time: How Do You Motivate Employees?"[6] The article identified some factors about jobs that are motivational, including the desire for achievement, recognition, the performance of the job itself, responsibility, advancement, and growth. These are pretty much the upper-level needs identified by Maslow and Alderfer. It is through the fulfillment of these needs (according to Herzberg) that satisfaction is achieved.

On the other hand, hygiene factors (the extrinsic elements of a job), such as company policy and administration, supervision received, relationships with co-workers, working conditions, salary, and job security, are seen as neither motivational nor satisfying. Instead, when these items are not available in a work situation, they become dissatisfiers—that is, they cause people to be unhappy (see Table 9.2). In more recent research, Herzberg has found similar patterns of satisfiers and dissatisfiers among workers in other countries—throughout Europe, in Israel, Japan, Zambia, South Africa, and India.[7]

SPECIFIC HUMAN NEEDS

Although research has not clearly identified the relationship among separate needs categories, several specific needs have been clearly identified and their effects have been pinpointed. In particular, there are nine needs that are prominent as expectations held by employees as they work: physical maintenance, security, affiliation, competence, reputation, power, service, achievement, and hope needs.

TABLE 9.2. Herzberg's Motivator (Satisfier)-Hygiene (Dissatisfier) Model

Dissatisfier (Hygiene Maintenance) Factors	Satisfier (Motivator) Factors
Security	Growth
Status	Advancement
Relationships with subordinates	Responsibility
Personal life	Work itself
Relationship with peers	Recognition
Salary	Achievement
Work conditions	
Relationship with supervisor	
Supervision	
Company policy and administration	

Source: Adapted from Frederick Herzberg, "One More Time: How Do We Motivate Employees?" *Harvard Business Review, 57*(1): 1968.

The Physical Maintenance Need

Each of us possesses the physical maintenance need—the need for biological survival. Adequate food, water, oxygen, and shelter are essential, of course, if we are to continue to live. As children, we had to depend upon others to provide for these needs. As we mature, we accept responsibility for procuring these things ourselves.

How Organizations Fulfill Physical Maintenance Need

Most of us today look to our jobs to provide the means (the necessary resources) to satisfy the physical maintenance needs for ourselves and our dependents. As mature adults, it is our responsibility to use earnings wisely so that these critical needs can be satisfied.

Some believe that organizations bear a responsibility to see to it that pay scales are developed so that the lowest-level full-time employee is paid at a rate that allows at least a provision of the physical maintenance for self and dependent family members (this assumes an average-sized family). The concept behind this is that every worker who is devoted to a full-time job should receive compensation adequate to meet these basic needs. Think about the arguments on both sides of the issue. The wage level needed to be sufficient varies from community to community, as cost-of-living levels vary. Most organizations want to establish a foundation wage well above the minimum standard-of-living figure.

The Need for Security

The need for security is related to the physical maintenance need. The certainty of a continuing supply of resources to meet physical needs is a security concern, but this need category goes much further. Each of us has a need to feel safe, secure, and protected from those elements around us that can harm us. Our security concerns may include fear of bodily harm and distress over threats of psychological pain as well.

Insecurity is one of the realities of life. As long as there are people and factors independent of an individual's control, security will be challenged. A dynamic society filled with politics, pollution, disharmony, dissension, and change makes security difficult to provide in a consistent way. It is normal for every employee to seek protection for self and family from the elements of insecurity. We buy life and medical insurance, use seat belts, vote for political candidates, open savings accounts, and choose friends in ways that provide security potential and improve the probabilities that we can control external threats.

How the Need for Security Can Be Fulfilled

Although it would be unrealistic to expect to conquer insecurity completely, organizations can provide respectable levels of it. Through the trustworthy, fair, considerate actions of a manager come increased feelings of safety. On the opposite side, hastily made, arbitrary, inconsistent managerial actions increase the level of insecurity.

Economic insecurities in the face of potential health problems, possible loss of employment, future retirement, and other difficulties must be reckoned with. Most businesses provide medical and hospitalization insurance, disability compensation, pension plans, Social Security contributions, and other programs to offset workers' economic insecurities. The use of seniority (even with some of its undesirable attributes) as a method for making decisions about layoffs and the granting of privileges gives long-term employees additional job security. Companies that use only the safest of equipment and implement policies that encourage safe practices are aiding the physical security of workers.

At organizations such as Delta Air Lines, Digital Equipment Corporation, Eli Lilly and Company, Fed Ex Corporation, Hallmark Cards, Inc., Hewlett-Packard Company, IBM, and Lincoln Electric, to name a few, a no-layoff policy exists. Basically, this type of company policy tells workers that regardless of how good or how bad business is, the employees still have jobs. Sometimes the firms have had to struggle to keep their commitments. Employees may be shifted to different types of jobs or have their hours cut back. However, employees have derived much security as firms have honored their promise to keep them employed.[8]

When it comes to physical safety, there's no doubt that some jobs are much more threatening. Highway and other traffic-related accidents account for 24 percent of all on-the-job fatal accidents. The industry with the highest number of fatalities is the construction industry; in addition to traffic accidents in the construction industry, falls and electrocutions are high. Other industries with high fatality numbers are agriculture, forestry, fishing, transportation and public utilities, and mining.

The second leading cause of on-the-job deaths is workplace homicides. Many homicides occur in retail outlets often as a result of robberies. In demographic terms, men, the self-employed, and older workers are the ones most likely to be involved in a fatal accident.[9]

We probably should note that some people actually seem to thrive on risk taking. We'll talk more about risk taking when we discuss achievement needs.

The Need for Affiliation

The need for affiliation is really an other-related type of desire. It is the need for belonging, for association, for acceptance by others, or the need for

giving and receiving friendship. The affiliation need appears to be at least partially inherent, since even newborn babies respond to affiliation and tend to vegetate without it. Affiliation needs can also be cultivated and can be affected by a number of cultural and social factors. It would appear, for example, that urban workers may have stronger needs for the approval and support of others than do rurally raised individuals. First-born children seem to be joiners of organizations (clubs, civic groups, etc.) more than are later borns, possibly indicating a stronger affiliation need.

As children, each of us looked more to family members as the source for affiliation fulfillment. As we grew older, peer groups and friends became more and more the center of affiliation expectations (note the strong peer influence among teenagers, for example). Adults who are a part of a work organization seem to carry affiliation expectations with them to work.

Affiliation-need level has an impact upon our behavior at work. Those of us who are high in the need for affiliation tend to be more conforming to the wishes and norms of others. We highly value membership in informal groups and pursue careers that provide for us more interpersonal contact (sales, personnel administration, counseling, and the like). There is some indication that high-affiliation need causes people to have lower absenteeism and turnover patterns. High-affiliation people are motivated by opportunities to earn the recognition and respect of others. It is also possible that these individuals are able to cope with stress more effectively if they have successfully cultivated the support and interest of other people. Look back at the Lisa Lanigan case, for example. One of Lisa's fears is that away from the support of her family she may have difficulty dealing with the stress of a new and challenging job.

Encouraging and Fulfilling Affiliation

Although workers cannot be forced into social affiliations beyond their own personal desires, it is possible to provide people who want affiliation with opportunities to interact with others. Where there is flexibility in workstations, individuals can be placed near one another to allow for conversation and social exchange. Simultaneous work can be scheduled to provide several employees with the opportunity to strengthen their contacts. Organizationwide or departmental picnics can enhance social ties. Group assignments can be utilized for affiliation seekers. Supportive feedback (as opposed to critical, task-related feedback) can be provided.

Workers who are low in affiliation needs may be happier and more productive in individual assignments in which interactions are less necessary. Duties that must be performed in isolation will probably be better handled by low-affiliation individuals. Managers faced with unpopular decisions affecting others may be able to perform more effectively if their affiliation needs are not restrictively strong.

It seems probable that workers who have a high need for affiliation may respond favorably to bosses who lead them using consideration and approval techniques rather than heavy task orientations. Workers who are less affiliation bound may be more open to productivity-centered leadership. They may be happier and more productive working in a group if the group has high productivity goals and can exert pressure on them to comply with group standards.

The Competence Need

The competence need is the desire to feel adequate to perform the tasks and assignments expected of us. In the workplace, this will mean a drive to capably fulfill the roles and obligations inherent with the job. The average human being desires to be a success rather than a failure. Studies have shown that very often, particularly for young people, this drive for a feeling of competency is stronger than any other drive.[10] In the Lisa Lanigan case, some of the satisfaction Lisa gets from her work comes from mastering a complex and demanding set of job skills. Lisa feels adequate for her current job, but what about the new one? Thus, competence needs may enter into her decision.

Nonsupervisors seek competence as they use materials, equipment, and their own physical and mental resources to meet performance standards under time and quality constraints. Managers seek competence as they direct the efforts of others toward useful achievement. In almost every situation, competency involves self-judgment—judgment in which individuals evaluate their own performances and are able to reach a favorable conclusion. The judgment of others (bosses, colleagues, etc.), of course, will influence the results.

One author said, "The competent individual feels potent and worthy of being taken seriously by others. The person who lacks the attitude of competence may not dare to hope to achieve. The competent person may experience conflict, disappointment, and frustration, but he (or she) is not likely to think of self as being bored or defeated."[11]

Providing for Attainment of Competency

The best way to develop a feeling of competency is to perform job assignments capably and adequately. When we perform successfully, our confidence in our own abilities develops, and we come to view ourselves positively.

Supervisors can help their employees develop a feeling of competency by properly assessing the capabilities of each employee and then giving job assignments within the boundaries of each employee's ability; feelings of futility will result when employees are given tasks beyond their capabilities. Bosses can also help by providing the necessary training, communication, and material assistance needed by the worker to increase ability to perform.

Feedback on successful performance is also helpful in the attainment of competency. Workers benefit when methods are available to measure performance levels in ways that provide knowledge of results pointing out successes as well as needed changes.

As is true of most need fulfillments, managers can do only a part of what is needed to help workers achieve competency. Workers must exert their own effort, and possess a certain level of skill to attain competency.

The Reputation Need

In many ways, the reputation need is an extension of both the affiliation and the competence needs, for the reputation need calls for the recognition of one's competencies by others. Maslow defined the reputation need as a desire for status, recognition, and deserved respect from one's colleagues. The implication is that we are not satisfied simply to recognize our own adequacies; we want others to realize our capabilities and respond to us with admiration.

Workers, like everyone else, seek praise and recognition when they have performed well. A supervisor who says, "I don't see why I should have to commend workers just for doing what they are supposed to do when I'm paying nine dollars an hour for them to do it," is showing a lack of sensitivity to this need. In reality, workers want recognition in addition to the monetary rewards they are receiving.

A by-product of fulfillment of the reputation need is status. As an esteemed reputation is acquired, status very often is an outward form of calling attention to this accomplishment. In a realistic sense, status is an earned distinction that provides the individual with unique recognition—something above the ordinary, the commonplace. Earned status calls for symbols to portray the status and requests further recognition on the part of those who see the status symbols. Attempts by some business organizations and some political philosophies to destroy status positions and status symbols have been basically unsuccessful. Where one symbol has been removed, another symbol has risen to take its place.

When channeled properly, the desire for a good reputation and high esteem (and status also) can be a very useful drive. Of course, it is imperative that all workers be given the opportunity to achieve this goal when their actions deserve recognition.

Providing Workers with Fulfillment
of the Reputation Need

One of the simplest, most helpful ways of fulfilling the reputation need is for supervisors to identify and commend good performance whenever it is given. Most workers respond enthusiastically to praise. Praise can be given easily and can mean much to a worker, yet it is interesting to note that many

managers realize that they do not use praise as often as it is earned. It is important to note that to be effective, praise must be genuine and must recognize a real accomplishment. Empty praise, such as "You're doing fine, Sally," may appear meaningless and may be resented by workers. In some cultures, public praise is quite acceptable; in others, public praise is considered inappropriate.

Promotions and salary increases based upon merit are other forms of managerial response to the needs of workers for esteem and recognition. Techniques such as employee-of-the-week awards and the gift of watches or pins for service rendered are other ways of extending symbols of esteem. These techniques may not appear very sophisticated, but they are rewards that provide recognition and enhance reputation. There are, of course, many status symbols (a private office, a large desk, a reserved place in the company parking lot) that provide esteem and reputation recognition. Many workers are self-conscious about their esteem ambitions, but the need continues to surface. Managers have an abundance of ways to fulfill this need.

In providing recognition rewards and status achievements, it is important that opportunities to attain rewards and status are made known to all employees. Equitable reward systems provide everyone with equal opportunities to attain benefits. Rewards and recognition are something that should be earned by the recipient to satisfy personal reputation and competence needs.

The Need for Power

Power is the capacity to influence or control the objects and forces in one's environment. Power is sometimes used interchangeably with the concept of authority, but they are really different things. Power is the ability to control or influence others; authority is the right that an individual has earned or has been given to control or direct others. On a personal basis, power describes the ability of an individual to be dominant over or control the utilization of physical objects and the actions of other people. Although power may make possible the fulfillment of other personal goals and objectives, many individuals seem to seek power primarily for the sake of being dominant and forceful. The need for power does not appear to be of the same intensity in all individuals; power is a chief concern of some and is of less interest to others.

It has been observed that power is an important need of many politicians and may be a vital part of the makeup of many supervisors and managers. There is little doubt that many administrators climb the organizational ladder in search of power, often at the sacrifice of other goals (such as those of affiliation). Review the sections of Chapter 5 that deal with power and politics and how to gain power.

Often, the individual in an organizational setting with a high need for power has been labeled as autocratic and self-serving. One of the major re-

searchers of human needs, David C. McClelland, would label this kind of person to be a high-personal-power seeker. McClelland states that the high-personal-power individual tends to be not only high in the need for power but also low in the need for affiliation (to be well thought of and accepted by others) and low in inhibition (self-discipline). In most situations, high-personal-power individuals are not well received by others and are not particularly effective. Such individuals have a tendency to make their employees feel weak and powerless.[12]

On the other hand, high-institutional-power people can be quite effective. These individuals with a high-level power drive are concerned about influencing people for the benefit of the institution (organization) as a whole. The high-institutional-power person helps employees feel strong and responsible, rewards employees for good performance, sees that there is good organization so that employees know what they are doing, and fosters a strong team spirit. The high-institutional-power person is high in the need for power, low in the need for affiliation, and high in inhibition (disciplined self-control). Further, McClelland believes that high-institutional people are organization minded, feel much responsibility, are willing to sacrifice self-interest for the welfare of the organization, and have a keen sense of justice. High-institutional-power people, in other words, can play a very useful role in organizations.[13]

Fulfilling the Need for Power

Officials in organizations control the giving of power only to a limited degree. Power resulting from formal authority comes with the delegation of duties and responsibilities (especially power through rewards, coerciveness, and legitimacy). These and other types of power may be won by individuals as they informally relate to others. The power of expertise may be enhanced through training and practice.

Managers face one of their greatest challenges in properly providing those workers who have a desire for power with opportunities for fulfillment in the work organization. A major element of the problem is the fact that not all individuals who desire power have the credentials and qualifications for handling it. Managers must assess not only the needs of their employees for power but also the workers' ability to use power. It has been pointed out that many people have unsocialized power needs and are likely to exploit others. Individuals with socialized power needs will work hard to make sure that others grow in capabilities and in ability to use their own power. Obviously, people with socialized power needs have much more ability than do those with unsocialized power needs to use power in ways that benefit organizations.

The Service Need

The service need is a yearning to give aid to others. To provide nurturance is one of the major aims of this need. We're not sure how it develops, but this other-related drive seems strong among certain groups of people. Individuals in the health-care field would appear to be very strong in this desire. Educators and personnel administrators are identified with an abundance of this need. Some very evangelical sales personnel seem motivated to convey the benefits of their products to the aid of others. Obviously, individuals in clerical positions may possess this need to a high degree.

Providing Opportunities for Service

A genuinely service-oriented individual will be unhappy without opportunities to help others. Human contact is essential here. A human resources administrator, for example, may be gratified by helping a new worker find a job that is well-suited to the worker's personal qualifications. A trainer will find satisfaction in seeing a trainee grow and develop. A counselor will have good feelings as the problems of a client are resolved.

A service-directed employee can feel satisfied with the end product in a company that provides, for example, surgical supplies. In educational and health-care organizations, nearly any daily activity may be viewed as an opportunity for service. For an especially service-oriented individual, organizations need to be able to provide one of these opportunities for fulfillment.

The Achievement Need

The achievement need is the human desire to accomplish a feat or task through the individual's efforts in the face of opposition and challenge. David McClelland, who has studied achievement needs in depth, indicates that the achievement need involves an emotional risk in which pleasure is sought with the realization that pain is an immediate threat.[14] The achievement need differs from the competence need: the competence need is satisfied by the ability to cope with routine situations, while the achievement need is fulfilled primarily with the confrontation and mastery of extraordinary situations. Individuals with a desire to blaze new frontiers in a pioneering spirit may be responding to their need for achievement. Highly innovative, creative individuals may be motivated by the desire to do things no one else has done before.

The high-achievement-need individual has several specific traits. First, high achievers are responsive to situations in which some risk is involved.[15] Risks, however, must be at moderate levels. Extreme risks will be considered as too uncertain, and low risks will be thought of as unchallenging. Take one more look at the Lisa Lanigan case. Is Lisa an achievement-

oriented person? What is her assessment of the risks involved in accepting the new position? How do you think this could affect her decision process?

Second, clear and unambiguous feedback must be forthcoming as a result of performance for a high achiever to get involved. The high-achievement-need person will not be satisfied with a situation in which there is no way to identify whether performance has been a success or a failure. High-achievement-need individuals thrive on being personally responsible for performance. A task that is someone else's responsibility holds no challenge. A high level of efficiency of operations also is sought.[16]

Zemke shows the difference in high-achievement-need and low-achievement-need managers by noting that high achievers tend to be optimistic, favorable toward employees, participative, inclined to attempt personal fulfillment for employees, open with bosses and workers, and concerned with both people and productivity. By contrast, Zemke notes that low-achievement-need managers are more pessimistic, distrustful of workers, unlikely to delegate, likely to avoid interaction, and more concerned about self-preservation.[17]

Providing the Opportunity for Achievement

Recognizing those individuals who have definite interests in achievement at a specific point in time and providing them with opportunities for fulfillment is another of the more demanding tasks faced by supervisors. The achievement-oriented worker often can be identified by a willingness to assume responsibility and a desire to be innovative and to take risks. As each manager discovers this desire on the part of one of his or her employees, the opportunity exists to encourage the worker's initiative and to provide the desired challenge through greater delegation of decision-making duties. In other cases, workers are given assignments in which high-risk performances are involved. Wherever workers are encouraged to be innovative through the existence of reward structures, achievement is being encouraged.

It is very important that workers' desires and abilities be compatible with the risk-taking and creative demands of the jobs they hold. The worker with high-level needs for achievement will thrive on challenge, while a less achievement-oriented worker may feel nothing but anxiety and frustration while working on a high-risk assignment.

The Need for Hope

The hope need is the desire we all have to believe in the possibility that the future will bring conditions or circumstances that are better than those now existing. Hope is optimism based upon perceived opportunities for improvement or expectations that conditions and circumstances will improve. Without hope of improvement, the psychologically, socially, or economi-

cally depressed individual becomes increasingly listless, distressed, and sometimes even violent.

People at work are no different from other humans in their need for hope. They respond with optimism if hope is possible and may even tolerate deplorable conditions for a time if improvement is in view. On the other hand, those who work in less than ideal conditions become either passive or hostile if hope is denied them. Hope-oriented persons will seek methods to bring the world more in line with their desires even if only remotely possible.

Encouraging Hope

Hope would, of course, be unnecessary if all conditions were perfect, but perfection is rarely achieved. Because hope is partially an intangible state of mind, managers must first provide an environment in which optimism can exist. Workers acquire a spirit of optimism when they experience improvement in areas that previously have been unsatisfactory. Although workers may normally be reluctant to accept change, they may welcome it when existing conditions are intolerable.

When workers have confidence that their superiors are sincerely interested in the workers' personal welfare, they more readily feel that improvement is a real possibility. Workers are prone to believe that their bosses will therefore act in their best interests. To some extent, trust is involved. Workers who have seen their bosses go to bat for them in the past tend to believe and trust that they will get support from them when needed in the future.

Perceptive managers have discovered that listening agencies such as grievance committees or other appeal boards serve an important role in encouraging hope. Workers often respond to the opportunity to present their feelings and concerns to a fair grievance committee if they know the grievance committee has a sympathetic ear as well as the power to act when improvement is possible. The promise of improvement is not enough to continue the desire for hope. Hope will be furthered only if tangible evidence exists to show that previous concerns have sometimes been fulfilled and that resources are available to provide real fulfillment in the future.

THE DEGREE OF NEED FULFILLMENT
AND THE URGENCY OF NEEDS

Needs are present in all individuals, but some needs seem to be activated to a greater degree than others. Some individuals experience a much higher level of fulfillment of their needs than do others. Individual needs and levels of satisfaction vary according to previous accomplishments, present conditions, and future opportunities.

Studies support the position that needs do indeed vary on the basis of such factors as what the individual has already experienced and what an individual's responsibilities are. In a U.S. Department of Labor study, for example, it was discovered that the composite goal hierarchy for American employees put "interesting work" above all other goals. "Enough information to get the job done" was second in importance (see Table 9.3 for other rankings).[18] In the composite figures, more than 50 percent of the employees were white-collar personnel (professional, technical, managerial, clerical, and sales workers). Distinct differences in the job expectations of the composite worker and blue-collar workers became evident in the analysis performed by Fein.[19] "Good pay" and "job security" appear to be more important for blue-collar workers than for white-collar employees. On the other hand, "interesting work" and "enough authority" appeared particularly to be of lesser importance to most blue-collar workers than was true of white-collar workers.

In an international study of employees in seven occupational levels performed by Hofstede (including employees from sixteen different countries), clear differences were shown in the goals being sought by the different clas-

TABLE 9.3. Order of Importance of Working Condition Factors for Composite Worker and Blue-Collar Worker

Working Condition Factor	Composite Worker Ranking	Blue-Collar Worker Ranking		
		Factory Worker	Construction Worker	Miscellaneous and Truck Drivers
The work is interesting	1	7.5	5	3
Receive enough information to get the job done	2	2	4	5
Receive enough help and equipment to get the job done	3	1	6	1.5
Good pay	4	4	1	1.5
Enough authority to do the job	5	11	12	6.5
Friendly and helpful co-workers	6	5	3	4
Work where the results are visible	7	9	11	8
Good level of job security	8	3	2	6.5
Opportunity to develop special abilities	9.5	13	16	9
Job where responsibilities are clearly defined	9.5	6	7	10

Source: Mitchell Fein, "The Real Needs and Goals of Blue-Collar Workers," *The Conference Board Record,* 10(2): 1973, 28.

sifications of workers.[20] The professionals in the Hofstede study exhibited urgent needs for self-actualization and esteem (achievement and reputation). Managers had self-actualization, esteem, and social needs. Technicians had a mixture of self-actualization, esteem, social, security, and physiological needs. Clerical workers were most concerned about social needs, and unskilled workers sought the basis of security and physiological needs. Again, the moral here is that it's important to know your workers and what their individual needs are. Only then can we, as managers, develop an effective motivational approach for each one.

In a study with a slightly different focus, Mitchell was able to identify the degree of need fulfillment and the satisfaction of personnel (in this case, Air Force officers) by their rank in the organization. The security, social, esteem, autonomy, and self-actualization needs of generals and colonels were better fulfilled and more satisfied than were those of personnel at the next organization level surveyed (lieutenant colonels and majors). With the exception of satisfaction with autonomy, lieutenant colonels and majors had more satisfaction and fulfillment than did captains and lieutenants. Mitchell was also able to note that line personnel (those in the chain of command) had more fulfillment and more satisfaction in just about every need category than did staff (support) personnel.[21]

According to surveys done by the American Association of Retired Persons (AARP), needs change as workers age and their life circumstances are modified. When broken into subgroups for purposes of analysis, the AARP survey shows classifications of midlife career changes (ages fifty to sixty-two), displaced workers sixty-two and younger, retirees ages sixty-two and younger, retirees who are between the ages of sixty-two and sixty-nine, and retirees who are seventy and older who live on Social Security benefits. The midlife career changers have plateaued or believe economic conditions threaten their jobs. This group looks primarily for growth needs and, to some extent, financial security.[22]

Displaced workers sixty-two and younger have work experience but currently are without a job. Security needs are strong among the individuals in this category. With full-time workers, good benefits, good health maintenance coverage, and the opportunity to build retirement security are the primary concerns. Retirees age sixty-two and younger often seek employment again because they are bored with retirement, are looking for more structure in their lives, or have a desire for belongingness and meaningfulness in life. For some, full-time jobs are attractive. For others, part-time work is satisfactory.

In the past, retirees ages sixty-two through sixty-nine on Social Security found their incomes to be fixed, but they could work only a limited number of hours as a result of Social Security income ceilings. This limitation was recently eliminated. Older workers often feel that their skills are becoming

obsolete. Health problems are adding up, too. People in this grouping often want part-time, flexible work hours and supplementary group insurance. Retirees seventy and older share many of the same needs younger retirees have, particularly the need for more income. Chapter 2 presented some ways of providing for the needs of older workers.

DISCOVERING THE CURRENT NEEDS OF WORKERS

Each of us has our own set of needs and expectations. We have some general information about the classifications of needs and how they may exist among workers in different industries, by different professions, and at different levels in an organization. To effectively use needs as techniques for motivation, placement, and best performance, we must identify the specific needs of each individual. Because needs do change, the urgencies of an individual's needs must be constantly monitored.

Managers frequently have a difficult time discovering the needs of their subordinates. A good illustration of this is the recent survey of 100 supervisors and 1,000 of their subordinates. Bosses were asked to identify what they felt their subordinates wanted from their jobs and work experience. The subordinates were then asked to identify what their personal needs from their jobs were. The employees ranked interesting work first, full appreciation of work done second, and a feeling of being in on things third. None of these items appeared at the top of the supervisors' estimates of what their subordinates wanted. Instead, the supervisors listed good wages, job security, and promotion and growth in the organization as their estimates of what their subordinates most wanted. Obviously, a mismatch existed between the employees' real wants and their bosses' beliefs about what they wanted. Such a mismatch can lead to problems with job satisfaction and motivation if no adjustments are made.[23]

Perceptive managers look for clues to discern an employee's needs in every way possible. What a worker complains about, for example, may be an indication of unfilled or threatened needs. How an employee responds to an incentive may reveal the existence and strength of a need. Straightforward inquiries to subordinates may reveal needs and desires. In other cases, nondirective interviewing (discussed in Chapter 13) may be necessary to uncover the real needs of a worker.

It is possible to analyze the needs of a worker through the use of tests and questionnaires. One of the best known techniques for discovering the strength of needs is the Thematic Apperception Test developed by Murray. In this test, individuals are shown pictures of people in different settings and are asked to write a story about each picture. By analyzing the stories writ-

ten, the strength of needs (especially achievement, power, and affiliation) can be diagnosed.[24]

Scales such as the one shown in the following self-test may also be useful in identifying the strength of needs levels. Try out the Personal Feedback Needs Importance Questionnaire and identify the strength of your needs. The questionnaire can be adapted so that employees in a specific organization can answer the same basic questions.

PERSONAL FEEDBACK
Needs Importance Questionnaire

Please evaluate the following eighteen items according to how important you feel they will be to you as you look for a job upon graduation. Circle the score that is appropriate. Number 1 is the least important; 7 is the highest in importance. You may indicate importance within the range of 1 through 7.

1. It is very important to me to find a job where problems will be corrected when they are discovered. 1 2 3 4 5 6 7
2. It is very important to me to find a job where I have authority and responsibility. 1 2 3 4 5 6 7
3. It is very important to me to find a job where I can do things that are helpful to others. 1 2 3 4 5 6 7
4. It is very important to me to find a job where I can do things no one else has had the opportunity to do before. 1 2 3 4 5 6 7
5. It is very important to me to find a job where I can win the praise and respect of others. 1 2 3 4 5 6 7
6. It is very important to me to find a job where I can feel good about myself and what I am able to accomplish. 1 2 3 4 5 6 7
7. It is very important to me that I find a job that allows me to adequately feed and clothe myself and those who depend upon me. 1 2 3 4 5 6 7
8. It is very important to me to find a job where I will receive the guidance and instruction I need. 1 2 3 4 5 6 7
9. It is very important to me to find a job that provides the opportunity to develop close friendships. 1 2 3 4 5 6 7
10. It is very important to me to find a job where my superiors will treat me with fairness. 1 2 3 4 5 6 7
11. It is very important to me to find a job that has prestige within the organizaton. 1 2 3 4 5 6 7
12. It is very important to me to find a job where I can develop a feeling of belongingness as I relate to others. 1 2 3 4 5 6 7
13. It is very important to me to find a job where it appears that the future is brighter than the present. 1 2 3 4 5 6 7
14. It is important to me to find a job that is challenging. 1 2 3 4 5 6 7
15. It is important to me to find a job where I will have control and influence over other people. 1 2 3 4 5 6 7

16. It is important to me that I have a job where I can help oth- 1 2 3 4 5 6 7
ers to find solutions to their problems.
17. It is important to me to be able to handle whatever the de- 1 2 3 4 5 6 7
mands of my job turn out to be.
18. It is important to me to find a job where I have a paycheck 1 2 3 4 5 6 7
that will meet my essential needs.

To find the importance of each need for you, add the two answers listed below to gether and divide by two to get the average score. Seven is the highest score possible.

Physical Maintenance
Scores on 7 + 18   _____+_____=_____=_____
                                          2

Security
Scores on 8 + 10   _____+_____=_____=_____
                                          2

Affiliation
Scores on 9 + 12   _____+_____=_____=_____
                                          2

Competence
Scores on 6 + 17   _____+_____=_____=_____
                                          2

Reputation
Scores on 5 + 11   _____+_____=_____=_____
                                          2

Power
Scores on 2 + 15   _____+_____=_____=_____
                                          2

Service   _____+_____=_____=_____
Scores on 3 + 16   2

Achievement
Scores on 4 + 14   _____+_____=_____=_____
                                          2

Hope
Scores on 1 + 13   _____+_____=_____=_____
                                          2

SUMMARY

The more we discover our own goals and ambitions, the more we can di-
rect our behavior toward their fulfillment. The more we learn about things
that are unimportant to us, the more we can manage our time and effort to
avoid wasting them in the pursuit of insignificant goals. The more we learn
about the needs of others, the more we can help others to succeed in matters
that are vital to them. The more a manager can discover about the needs and

ambitions of subordinates, the more the manager can provide attractive incentives and guide the subordinates' efforts along the most beneficial path.

Many organizations are taking employee surveys to keep an eye on employee needs. In past years, companies undertook surveys primarily to keep unionization away or to find out why employees were griping. The more recent trend is to use surveys to discover what an organization can do to meet the manifested needs of employees. Comprehensive employee surveys can be very costly. In large organizations, the price tag for polling employees can be a $50,000 to $125,000 expense. Surveys, of course, may serve purposes other than discovering employee needs—they may gather information for decision making and collect data to help in the implementation of policies. Such surveys encourage more bottom-up communication and may facilitate downward and cross communication.[25]

QUESTIONS TO CONSIDER

1. To what extent are companies and supervisors responsible for the fulfillment of each worker's needs?
2. In considering each of the needs listed in this chapter, are there any legitimate reasons for management to avoid trying to fulfill these needs?
3. What risks, if any, are involved in encouraging workers to affiliate with one another?
4. What problems, if any, do you see in helping workers to fulfill power needs?
5. When is a high need for power good, and when is it not so good?
6. Can you think of real situations that support the statement that an individual's needs change over a period of time?
7. Can workers who have different personal needs work compatibly with one another? Explain.
8. What problems do you see in the process of identification of an employee's needs?
9. After an employee's needs have been diagnosed, what are some of the problems an organization may have in fulfilling those needs?

CHAPTER CASE: MOTIVATIONAL PROBLEMS AT THE ENVIRONMENTAL IMPROVEMENT UNIT

You have been out of school for only a short time when you are offered a job with a large government agency that oversees environmental improvement policies. You accept the job with pleasure.

"Now I can settle in and really practice management in a well-organized, stable atmosphere," you think. Unfortunately, life is never that simple. It

turns out that government agencies have problems of their own; worse yet, your boss expects you to solve them.

You are put in charge of what is loosely described as the "administrative unit." The unit's responsibility, you learn, is to provide all of the clerical support and backup for several divisions of the agency. Several primary tasks are performed. One group of workers classifies and files the complaints and action reports dealing with environmental improvement infractions. Another group does word processing; most of its work involves typing reports and letters discussing charges. In both cases, there is a tremendous volume of work. The work is collected by a third group of employees—the mail processors. This group receives incoming mail, sorts it, delivers it to the proper departments, picks up incoming work for your group, and brings the work back to the word processors and the filing group.

The workers are primarily young and have limited education. Most are high school or vocational technology school graduates; most seem to have little ambition.

"I know I'll never get anywhere," one of them tells you. "I never was much for schoolwork, so I can't see myself getting more education, and that's what it takes to get ahead around here. What they do is bring in college folks like you for the big jobs. So I just put in my time. After all, it's no better anywhere else, and I really like the gang around this place."

You quickly learn that that attitude is typical: the workers seem to be willing to put out minimal effort but primarily try to find any excuse to sneak out to take a break with their friends in the group. The only positive aspect you can see is that they aren't actively antimanagement. Instead, they seem to view management (including you) with indifference—sort of as a hindrance to the fun and games they would like to enjoy all of the time.

The only exception is a small group of complaint classifiers. This group reviews complaints and actions and classifies them into several categories before turning them over to the filing group. These workers are slightly more skilled than the others and much older—most have been with the agency for at least twenty years and have been doing the classifying job for ages. This group is actively dissatisfied, with a whole catalog of complaints for you.

"Now, it's nothing against you, honey," the unofficial spokesperson tells you. "We're used to young whippersnappers like you. They come and go, and we've had dozens of them over the years. But we're fed up with those other kids in the unit. They have no respect for us, no morals. Why, look at their crazy clothes and hairstyles—and they have no idea of doing a fair day's work. They're lazy and no good; worse yet, they're at the same pay grade as we are. It's not fair, and we want you to straighten them out."

Case Questions

1. What needs are manifest needs in this case? What needs are pretty much latent?
2. According to Maslow's theory, what are the problems in this case? What solutions would Maslow suggest?
3. According to Alderfer's theory, what's wrong here? What solutions would Alderfer propose?
4. What other problems do you see?
5. What additional solutions would you suggest?

GLOSSARY

achievement need: The desire to accomplish feats or tasks that are very challenging; the desire to do things that have an element of risk involved.

affiliation need: The desire to belong, to be accepted, to be able to associate with others.

competence need: The desire to feel adequate to meet the expectations and requirements that one must face.

esteem need: The desire to be respected (considered to be valuable) by self and others.

hope need: The desire to be able to believe that future conditions or circumstances will be better than those existing presently or in the past.

human need: A personal, unfilled vacancy that exists within an individual.

institutional power person: A type of individual who wants to be in control to benefit the organization.

latent need: A need, according to Murray, that lies dormant because nothing has happened to stimulate it.

love need: Sometimes called the social need. The desire to give and receive affection from others. Belongingness and acceptance by others are important here.

manifest need: A need, according to Murray, that has been activated by a stimulus or cue.

personal-power seeker: A type of individual who wants to dominate or be in control for personal gain.

physical maintenance (or physiological) need: The seeking of biological survival for food, clothing, and shelter.

power need: The seeking of the capacity to control people or things in one's environment. To wish to be dominant, influential.

reputation need: The desire to have the respect of others, to have one's competencies recognized by others.

security need: The yearning for safety or for the ability to overcome threats and dangers.

self-actualization need: The desire or yearning to become self-fulfilled, to achieve one's potential, to excel at something.

service need: The desire to do things that will be helpful or supportive of other people.

status: A form of recognition in which an individual is esteemed in a way that distinguishes self from other individuals and groups. A high-status person is held in positive esteem. A low-esteem person is given little recognition.

Chapter 10

The Role of Leadership
in the Organization

OBJECTIVES

- To identify the roles leaders play in contemporary organizations
- To review the development of thought concerning leadership to see where we've been and how we got where we are now
- To discern why trait, behavior, and one-best-style approaches are being set aside
- To see what contemporary situational leadership approaches offer to managers
- To learn what factors to consider in selecting the appropriate leadership approach to fit the situation
- To confront the dilemma of the need for consistency in leadership that operates concurrently with the need for flexibility

A CASE TO CONSIDER:
TED GUNDERSON—
THE CONSTRUCTION SUPERVISOR

Ted Gunderson is a general supervisor for a large custom house-building organization. The company he works for is known for its quality work; most of the homes it builds are large, expensive, and individually designed. It is Gunderson's job to oversee the construction of five or six houses being built at the same time. During each workday, Gunderson moves from one building site to another, checking on progress. A foreman is in charge of each house; the foremen spends all of his time at one site and works directly with the crew there. The foreman of each job reports directly to Gunderson, who in turn is accountable to the owner-manager of the company.

Gunderson came up through the ranks to get to his present job. He started as a carpenter's helper, then worked for several years as a carpenter, spent three years as a foreman, and was recently promoted to general supervisor.

Gunderson describes his job in the following manner:

> As I view my job, I think my primary duty is to see that each foreman has the materials, equipment, and personnel needed to do his job. The foreman and I consult together on what is reasonable in terms of work schedules. The rest of the responsibility is completely in the hands of the foreman. He runs the whole construction job. He has a completely free hand to do things as he wishes. I try to interfere as little as possible. That's the way I preferred things when I was a foreman, and that's the way that seems best to me.

Ralph Cannister, one of the foremen working under Gunderson, has been with the company as long as Gunderson has. He has been a foreman for about five years himself. These are his comments concerning Gunderson's supervisory abilities and actions:

> Ted is an excellent boss to work for. He lets you run the show completely on your own. He doesn't bug you all the time, like some bosses I've had in the past. He just puts you in charge of a crew and tells you to get the job done. That suits me fine.

Rudy Grantham, another of the foremen working under Gunderson, was recently promoted to the job of foreman to fill the vacancy Gunderson had left. Grantham came up through the ranks like Gunderson did. He has a different reaction toward the supervisory skills of Gunderson.

> Frankly, I don't think too much of Mr. Gunderson. He comes out on the construction site for a few minutes, then he's gone, and I don't see him for the rest of the day. Some days he doesn't come out at all. I don't think he's interested in me. He's never available when I need him. I'm getting along all right with the men working for me, but I am having some trouble coordinating all of the work and in doing the paperwork. I've never had to do some of these things before. Mr. Gunderson just is no help to me personally.

Case Questions

1. What leadership style is Ted Gunderson using?
2. Why does this style seem to be working with Ralph Cannister?
3. Why does this style seem to be unsatisfactory for Rudy Grantham?
4. How does a supervisor discover the type of leadership and supervision needed by each subordinate?
5. What style should Gunderson use with Grantham? Why?

* * *

During the biblical days, the children of Israel needed someone to guide them out of their bondage, and Moses stepped forward to lead them in their journey to the promised land. During the Great Depression, the American people needed someone to restore their confidence in their government and to provide a way to overcome the economic crisis they were facing, and Franklin D. Roosevelt became their leader to accomplish these tasks. During World War II, the British people were suffering severe losses and appeared to be unsuccessfully combating their foes when Winston Churchill came to the forefront and guided the British efforts to victory. Lee Iacocca provided Chrysler Corporation with the leadership it needed to rescue the company from financial disaster and turn it into a profitable organization. Other leaders have done the same type of things.

People working together in organizations have a need for leaders—individuals who will be instrumental in guiding the efforts of groups of workers to the achievement of goals and objectives. The objectives may not be as far-reaching as those mentioned above, and the actions of the leaders may not be so dramatic, but the successful performance of the leadership role is essential to the survival of the business. Goods and services have to be provided, products and customers need to be united, and worker efforts require integration and coordination; the needs of workers have to be met. The leader guides the actions of others in accomplishing these tasks.

By no means is there a universal concept of the role of the leader in an organization. Some have said simply that, "Leadership is an organizationally useful behavior by one member or members of the same organizational family."[1] Others say that, "Leadership can be described as a process through which the supervisor structures reinforcement contingencies that modify the behavior of employees. Stimuli preceding behavior and rewards following behavior serve to motivate employees to work according to standards of performance."[2] In the eyes of others, the leadership function is a matter of pushing or prodding people until they do what the leader-supervisor wishes them to do. This, of course, applies primarily to formalized leaders. To others, leadership is primarily a matter of removing barriers so that workers can act with freedom and independence. In the next section, we suggest that leadership is providing followers with the knowledge, tools, equipment, and incentive to allow them to attain mutually beneficial goals. Although the definitions of the leadership role vary widely, general agreement exists that someone is needed to serve as the agent for guiding and encouraging people to work together.

HOW WE GOT WHERE WE ARE TODAY

The Trait Approach

In preindustrial years, a person's possessions often determined whether the person was to be a leader. As a result of their great material resources, the wealthy usually held the right to give directives to those of lesser fortunes. The "rights of kings" is, or course, legendary. Those with power could command obedience.

After the Industrial Revolution occurred, an additional source of the right to have a leadership possession was noted. Individuals having essential personal traits were identified as desirable to fill leadership roles. Fayol, an important early management theorist, noted that more effective managers would be those possessing specific traits:

1. *Physical qualities*—health, vigour, address (charisma)
2. *Mental qualities*—ability to understand and learn, judgment, mental vigor, and adaptability
3. *Moral qualities*—energy, firmness, willingness to accept responsibility, initiative, loyalty, tact, dignity
4. *General education*—general acquaintance with matters not belonging exclusively to the function performed
5. *Special knowledge*—that peculiar to the function, be it technical, commercial, financial, managerial
6. *Experience*—knowledge arising from the work proper[3]

In more contemporary times, people still talk about necessary leadership qualities or qualifications. Qualities such as perceptual skills (abilities to observe and discover realities), objectivity (ability to look at issues and problems rationally), the ability to establish priorities, and the ability to communicate are frequently listed requisites for effective leadership.[4]

The success of political leaders such as Roosevelt and Churchill was said to lie not only in their power through election but also because they possessed the ability to communicate and because they had a rapport with their constituents. This theory—the great man theory of leadership—explained that the possession of certain traits in a person determined the success that person would have influencing the attitudes and behavior of others.

As recently as 1948, Stogdill observed that based on a review of 124 research studies of leadership, it was his conclusion that individuals who were in leadership capacities tended to be more fluent, more original, more adaptable, more responsible, more popular, and more capable of getting work done than were their subordinates or followers.[5]

House has recently argued that there is a need for continuing study of trait theories of leadership.[6] Even when trait theories were extremely popu-

lar, people began to note that no one set of traits was useful in different leadership circumstances. Think back over your own experience with leaders—in clubs and work settings, for example. As you think about the leaders' personalities and traits, we suspect that you'll be startled at the variety of traits you've seen.

One friend of ours underscored this point in an unusual way. He was speaking to a group of people about leadership and asked everyone in the group to name at least one great leader. Here is the resulting list:

> Franklin Delano Roosevelt
> George S. Patton Jr.
> Martin Luther King Jr.
> Joan of Arc
> Adolf Hitler
> Margaret Thatcher
> Mahatma Gandhi
> Attila the Hun

Is this a joke? Should someone such as Hitler be on the list? Certainly under the definitions of leadership that say that leaders are able to get others to follow their wishes, people such as Hitler would be included even though very few twentieth-century Americans would agree with where Hitler was leading. Look again at the list. Maybe you can add a few names to it. Notice the enormous variety of traits and characteristics of the people on the list. Clearly, great leaders do not possess a single set of traits. As Stogdill himself noted, "The pattern of characteristics of the leader must bear some relevant relationship to the characteristics, activities, and goals of the followers." [7]

The Behavior Concept of Leadership

As researchers and theorists in leadership discovered that no single set of traits could be identified that could be universally applied, their thoughts turned to the possibility that it was the behavior of leaders rather than their traits that made them effective. Could it be that what leaders did rather than what they possessed was what made them successful? As a result of this research approach, the behavior theories of leadership began to observe the activities that more successful leaders engaged in as a comparison against the activities of less successful leaders. Studies conducted at Ohio State in 1955 identified and observed four behavior patterns: consideration (friendship, trust, warmth, and respect for others), initiating structure (the process of planning and organizing activities in support of organizational objectives), emphasizing production (emphasis on getting the job done), and sensitivity (the awareness of social relationships and pressures). After consid-

erable analysis, it was decided that consideration and initiating structure were the two factors that differentiated successful from unsuccessful leadership behavior.[8] Even though there was general agreement that the two factors were important, it was difficult (if not impossible) to describe a combination of these activities that would be appropriate for every leadership situation.

Studies done in Michigan around 1950 were similar to the Ohio State studies in several ways. They looked primarily at supervisory behavior and identified employee orientation and production orientation as two major sets of thoughts and behaviors that distinguished the more successful from the unsuccessful. Employee orientation represents concern for the needs and satisfaction level of subordinates, while production orientation emphasizes organization output.[9] In addition, the Michigan findings played up the difference between loose (general) supervision and close supervision.

The Style Approaches

From the research based upon the behavior patterns of leaders came leadership approaches that we now call style positions. The style theorists state that although a number of different leadership behaviors are possible, one set of behaviors is more ideal than others. That is to say, there is a method of leadership that will achieve long-range, more desirable results than other patterns of behavior. Two of these stylized approaches are Likert's System 4 concept and Blake and McCanse's Leadership Grid©.

System 4 Approach

In the 1960s, Rensis Likert, one of the participants in the Michigan studies, took the position that when successful organizations are discovered and analyzed, a large majority of the time a single style of leadership is in use. He called the "most successful" style the System 4 approach. For descriptive purposes, he perceived four different types of leadership as possibilities.[10] The System 1, which Likert called the exploitative management system, would be the most centralized type of authority of all. Somewhat less centralized but still very authoritative would be the System 2, a benevolent autocrat type of management. The System 3, which Likert called the consultative approach, would be slightly autocratic but would be somewhat more open. Likert viewed the System 4 as participative, with something of a team view of management. The teamwork, participation, delegation, and self-guidance factors are critical to the System 4 approach. As Likert saw it, the closer the leadership in an organization to the System 4 position, the more effective the performances of the organization and its members. (Table 10.1 presents details of the four systems developed by Likert.)

TABLE 10.1. The Four Systems Developed by Rensis Likert

System 1 Exploitative Autocrat	System 2 Benevolent Autocrat	System 3 Consultative	System 4 Participative
Rules by being bossy. Is very centralized. Top-down is the primary communication pattern. Subordinates uninvolved in decisions. Mistrust and antagonism are common. Mediocre performance results.	Sometimes allows a slight amount of participation. Follows most of the System 1 ideas, except less extreme. Still top-down oriented. Performance is fair.	Allows more participation and involvement in decision making. Some delegation of authority. Moderate to good performance patterns.	People who must live with decisions have a hand in making those decisions. Groups make decisions. Good two-way communication. Excellent productivity. Self-guidance is practiced where possible.

Source: Adapted from Rensis Likert, *New Patterns of Management* (New York: McGraw-Hill, 1961) 222-236; and Rensis Likert, *The Human Organization* (New York: McGraw-Hill, 1967) 4-11.

Look back at the Ted Gunderson case at the start of this chapter. Gunderson emphasizes that he consults with the foremen but tries to leave them as free as possible to manage their own people. We suspect that Gunderson's style would be close to System 4—a style that Likert suggests is ideal. It does seem ideal to Ralph Cannister, one of Gunderson's subordinates. The question is, Why isn't Rudy Grantham responding positively to Gunderson's style? Grantham's comments suggest that he's looking for something different from what Gunderson is providing. We'll return to this issue as we continue.

The Leadership Grid

The Leadership Grid, which was presented in book form in 1964 as the Managerial Grid (see Figure 10.1) looked at leadership behaviors based upon two criteria: the leader's concern for production (getting the job done) and the leader's concern for meeting the needs of the employees working in his or her area of influence.[11] The effort and concern for each factor was charted on a grid, with at least nine intervals in each dimension. Eighty-one different combinations of activity would be possible in charting leadership behavior. The ultimate leadership behavior or style would be the 9,9 approach—an emphasis on maximizing both task and human achievement. How can a leader be both task oriented and people oriented at the same time?

Blake and McCanse point out that the 9,9 leader designs work so that meeting work goals will also meet employees' needs for growth, experi-

FIGURE 10.1. The Leadership Grid

Concern for Production

	Low								High
	1	2	3	4	5	6	7	8	9

Concern for People

1,9 — High 9

Country Club Management
Thoughtful attention to the needs of people for satisfying relationships leads to a comfortable, friendly organization atmosphere and work tempo.

Team Management
Work accomplishment is from committed people; interdependence through a "common stake" in organizational purpose leads to relationships of trust and respect.

9,9

Middle of the Road Management
Adequate organization performance is possible through balancing the necessity to get out work while maintaining morale of people at a satisfactory level.

Improverished Management
Exertion of minimum effort to get required work done is appropriate to sustain organization membership.

Authority-Compliance
Efficiency in operations results from arranging conditions of work in such a way that human elements interfere to a minimum degree.

1,1 — Low

9,1

Source: The Leadership Grid figure from *Leadership Dilemmas—Grid Solutions,* by Robert R. Blake and Anne Adams McCanse (Houston: Gulf Publishing Company), p. 29. Copyright © 1991, by Scientific Methods, Inc. Published by permission of the owners.

ence, and participation. If a leader applies 9,9 behavior instead of one of the less ideal behaviors, it would be likely that the following would occur:

1. Organizational profitability would be good.
2. Intergroup relations would be strong.
3. People would work together as a team.
4. Frictions would be reduced and understanding increased.
5. Employee commitment and personal effort would be high.

The 9,9 leader's responsibilities include the following:

1. Providing for better direction and control through helping subordinates understand and agree with organizational purposes
2. Helping people to realize that mistakes should be regarded as educational so that future errors can be avoided
3. Meshing individual goals with organization purposes insofar as this is possible
4. Developing teamwork so that everyone's efforts are synchronized
5. Providing opportunities for participation and involvement so that people will support what they have helped to create
6. Serving as an advisor, coach, and helper to subordinates as needed
7. Creating conditions so that people will have mutual trust, support, and respect
8. Fostering open communication so that individuals will send messages to others as needed
9. Encouraging experimentation and innovation[12]

In short, 9,9 leadership is team oriented, providing participation and involvement rather than domination. The leader creates an environment for open exchange that is to be beneficial for all parties involved.

Look again at the Ted Gunderson case. Gunderson certainly comes across as production oriented. Although he is concerned with giving the foremen the freedom to act on their own, he doesn't come across as especially people centered.

Grantham's remarks suggest that he doesn't respond well to Gunderson's rather production-centered style, which is right in line with Blake and McCanse's theory. But what about Cannister? According to Blake and McCanse, Gunderson's style shouldn't work with Cannister either, yet Cannister's remarks sound as though Gunderson's approach is highly effective with him. Maybe what the case is suggesting is that we can't simply prescribe one leadership style as best for all situations. In fact, problems such as this have led some to view System 4 and 9,9 approaches (which are very similar) to be rather idealistic, somewhat utopian positions. This is not to say that they're wrong. In fact, each has many supporters, and each approach is seen by its authors to be effective and advantageous. Rather, the question is, do all situations call for the same leadership style?

The Situational View of Leadership

Many of the more recent models of leadership have taken the position that there is no one best way of leadership that will be appropriate for all situations. Instead, there are a number of types of leadership possible, and the conditions or circumstances present (including the characteristics of the

people involved) determine which type would be the most effective. The challenge to the manager is to discover the type of situational leadership needed and then to find a way to provide the correct leadership behavior.

The Fiedler Contingency Approach

One of the earliest and best-known situational leadership models was the one developed by Fred Fiedler in the mid-1960s.[13] Fiedler felt that there were two types of leaders: the task-oriented leader and the relationships-oriented leader. The task-oriented person focuses primarily on the completion of work. Esteem and satisfaction come from getting the job done. Relationship-motivated people seek good interpersonal relationships with group members and get work done through good working relations. It is possible for managers to discover their leadership preference by using the Least-Preferred Co-Worker (LPC) Scale developed by Fiedler. Individuals scoring low on the LPC Scale are labeled task-oriented, while high LPCs are said to be relationship-oriented.

The needed leadership for a specific situation is determined by using three identification criteria: (1) leader-member relations, (2) task structure, and (3) position power. Leader-member relations refer to the interpersonal relationship between the leader and the subordinates. This most important aspect of the work situation is concerned with how completely the followers accept the leadership of the lead individual. When leader-member relations are said to be good, the leader has a high acceptance by subordinates. When leader-member relations are poor, the followers respect the leader's authority very little.[14]

Leader-member relations can be identified by asking such questions as, "Is the leader trusted by subordinates?" and "For what boss in your organization would you prefer to work?" Fiedler created a ten-item semantic scale, called the Group Atmosphere Scale, to help calculate leader-member relations. The leader is asked to describe those in the leader's work unit by rating the group on an eight-point scale. Bipolar adjectives on the scale include such items as pleasant-unpleasant and friendly-unfriendly.

The second most important factor according to Fiedler in identifying the proper leadership for a situation is task structure. Task structure involves the degree to which task requirements (performances) are spelled out for workers. Structured tasks are, or course, those that detail the duties of the performer, while unstructured work provides a wide range of behaviors in an undesignated fashion. Questions to ask to determine the degree of task structure include, "To what degree are the requirements of a job clearly stated and known to the people performing the job?" "To what degree can different methods and procedures be used to perform a task?" "To what degree are different solutions—i.e., different results—acceptable as the product of a task?" Jobs that are spelled out in detail, in which specific job methods must be used and very exacting results must be achieved, would be

called structured. Jobs described only in terms of general directions, in which many different procedures might be used and any one of several solutions would be appropriate, would be identified as unstructured.

Position power is the remaining component in Fiedler's theory. Position power refers to the right that the leader possesses within the workplace to demand the followership of employees as a result of being a boss. Answers are needed to such questions as, "Can a supervisor punish or reward subordinates personally?" "Can the supervisor acting alone promote or demote subordinates?" "How specifically can the leader give instructions and expect them to be followed?" Where the leader has much authority to direct others, the position power would be called strong; if the leader had little control over subordinates, position power would be weak.

Table 10.2 shows how the conditions present at a specific moment are related to the appropriate leadership approach. Generally, in situations where leader-member relations are good, the task is structured, and the position power is strong, task-oriented leadership will be most useful. When leader-member relations, task structure, and position power are low, task-oriented leadership is also useful. When the situation favorability is moderate (neither high nor low in leader-member relations), relationship-oriented leadership is needed. Some conditions are exceptions to these, but you can see how

TABLE 10.2. General Guidelines for Determining When to Use Task-Oriented and Relationship-Oriented Leadership

Leadership style to be used	Use task-oriented when favorableness exists	Use relationship-oriented when situation favorableness is moderate	Use task-oriented when situation is unfavorable
Condition calling for leadership style	Leader-member relations are high	When the three factors (leader-member relations, task structure, and position power) are in intermediate ranges	Leader-member relations are low
	Task is structured		Task is unstructured
	Group is open to leadership (high position power)		Group is not open nor receptive (low position power)

Source: Adapted from Fred E. Fiedler, "A Contingency Model of Leadership Effectiveness," in L. Berkowitz (Editor), *Advances in Experimental Social Psychology* (New York: Academic Press, 1964); Fred E. Fiedler, *A Theory of Leadership Effectiveness* (New York: McGraw-Hill, 1967); Fred E. Fiedler and M. M. Chemers, *Improving Leadership Effectiveness* (New York: John Wiley and Sons, 1984); and Fred E. Fiedler, "Situational Control and a Dynamic Theory of Leadership," in Bert King, Siegfried Streufert, and Fred E. Fiedler (Eds.), *Managerial Control and Organizational Democracy* (Washington, DC: V. H. Winston and Sons, 1978).

Fiedler's concept works. More recently, Fiedler has suggested that other factors such as leader intelligence and amount of stress may also enter in.[15]

Fiedler is pessimistic about individual leaders developing flexibility in their leadership approaches. He suggests that leaders, instead of being expected to change their approach, be placed where their orientation matches the needs of the situation.

The Vroom-Yetton-Jago Decision Tree Approach

Another popular leadership model is the one developed by Vroom and Yetton. The model is sometimes perceived as a guideline for making decisions as well. In the original model introduced in 1973, four leadership categories were portrayed: (1) A leadership (autocratic leadership, where decisions are made by the leader without considering inputs from others), (2) C leadership (consultative leadership, where information from others is sought and accepted or rejected), (3) G leadership (group leadership, where members work as a team and the leader serves to facilitate the group's actions without being dominant), and (4) D leadership (delegative leadership, where a follower is handed a task to be performed under his or her own initiative). Subsequently, the model was reduced to three leadership categories: autocratic, consultative, and group.[16] In addition, Vroom and Jago added four more decision trees.[17] (Check your leadership preferences by answering the questions in the accompanying Personal Feedback questionnaire.)

To determine which leadership approach is appropriate in a particular situation, a series of eight questions must be answered. The questions, included in Figure 10.2, must be answered in sequence. The first question (Question A) is, "Does it matter from a quality point of view what is decided?" If the answer to the Question A is yes, Question B must be answered. If the answer to A is no, Questions B and C are bypassed, and Question D must be answered next.

At the end of the question sequence, the leadership styles appropriate to a situation are revealed. Styles appropriate are listed in order of the time involved to fulfill the style, with autocratic, consultative, and group listed in that order according to time needed for implementation.

The Hersey-Blanchard Situational Approach

Another popular situational leadership model was developed by Hersey and Blanchard. In this leadership approach, the appropriate leadership for a situation is based upon the readiness (and maturity) of an employee. Readiness is determined by the employee's ability and willingness or level of confidence or security. An R1 person is unable and unwilling or insecure. An R1 needs a telling kind of leadership which provides guidance, direction, and structure.

PERSONAL FEEDBACK
Leadership Decisions Questionnaire

Please read the following situations. Then review the four courses of action you might choose. Check the one course of action in each case that best describes what you feel you would do.

1. A group of workers who are your subordinates are experiencing conflict among themselves. The source of disagreement is over some work responsibilities (who is supposed to perform which activity). In the past, you have left the workers alone, and they have always worked out their own problems. Group performance and interpersonal relations have been good in the past. You don't know the extent of their disagreement in this situation, however.
As their boss, would you:

_____ **a.** Sit down with the group and work with them to evaluate possible courses of action. Your role would be more like that of a chairman. You would not force "your" decision upon them but would accept the solution that had the support of the whole group.

_____ **b.** Identify to the whole group what you considered to be the problem. You would obtain the collective suggestions of the group. Then you would make a decision that might or might not reflect the influence of the group.

_____ **c.** You would ask for information from your subordinates without telling them why you want the information. You would then decide what to do about the subordinates' problem. You would view the subordinates only as sources of information.

_____ **d.** Let the group recognize and solve its own problem. You would, of course, provide the group with any information that you possess.

2. It is your job as the manager of a project group to select a new member for the work team to replace a member who has resigned. Members of the team work closely together both mentally and geographically on a constant basis. All of the team members are highly trained and skilled. The group is a self-motivating group in that they take the initiative in solving problems and in creating new procedures when needed. The last time a vacancy in the group occurred, you selected a member by yourself and assigned him to the group. Shortly after the new member joined the group, he was rejected by the group and you had to make another choice (whom the group eventually accepted). You have a high level of confidence in the group. You, of course, are accountable for the group's performance.
Would you:

_____ **a.** Consult with the members of the group collectively to review possible new members. You would receive the recommendations and suggestions of the group and consider them before making the final decision yourself. Your decision may not reflect the recommendations from the group.

_____ **b.** Act quickly to replace the resigned member using data you have collected yourself without consulting with group members.

_____ **c.** Bring the team together and identify the need for selecting a new member. You would then leave the room and let them decide whom they would select as a new member. Their decision will be accepted and implemented.

_____ **d.** Bring the team together and show them the problem as you see it. You would encourage the group to be involved in selecting the right person. You would work with the group to make this correct decision without dominating the group.

3. As the boss, it is your responsibility to select the brand and model of the car you would like to have to replace the company car you have driven for the past four years. You make this type of decision every four years as company policy prescribes. You are well versed on the subject, since you have received literature and have test-driven several cars. You drive the company car most of the time yourself, although you occasionally allow one of your employees to use the car.
Would you:

_____ **a.** Delegate the decision to your subordinate and let the subordinate make the decision. You would, of course, pass along the information you have collected.

_____ **b.** Explain the decision need to your subordinate and ask for an opinion. Together you would arrive at a mutually agreeable solution.

_____ **c.** Explain the decision need to your subordinate and ask for ideas and suggestions. Then you would make a decision, which might or might not reflect the subordinate's influence.

_____ **d.** Make a decision yourself based upon the data you have without consulting anyone.

4. Some equipment needs to be replaced in a department supervised by one of your most trusted subordinates. The work done in that department is of a very technical nature known only to the people who work in the department. The supervisor of the department (your subordinate) knows the budget limitations for new equipment. The supervisor is a cooperative-team member—one who contributes well to the organization and its goals.
Would you:

_____ **a.** Let the supervisor of the technical department make the decision, using whatever technique the supervisor wishes to arrive at a conclusion. You accept the recommendation as being final.

_____ **b.** Discuss the problem with the supervisor, get suggestions, and make the final decision yourself. You may choose to accept the suggestions or you may reject them.

_____ **c.** Share the need for a decision with the supervisor, then sit down with the supervisor and together evaluate the alternatives and reach a mutually agreeable decision. Neither individual would dominate the decision.

_____ **d.** Make the decision yourself based upon the facts you have without consulting with anyone else.

5. You have two important projects under your direction with three subordinates assigned to each project. One of these projects is three months behind the schedule, with only six months remaining before the work must be completed. The project has been under way for about twelve months. The subordinates seem to be trying hard but are not getting sufficient results.
Would you:

_____ **a.** Meet with the people in the group that is behind schedule and get information from them without telling them why you want the information. Then, based upon the information collected, you would make some procedural changes and announce some new schedules that they would be expected to meet.

_____ **b.** Share you concerns individually with the members of the team experiencing problems. After considering their ideas and yours, make decisions on actions that will affect them. Your decision may or may not reflect what they have told you.

_____ **c.** Share you concerns with the group, then let them work out their own problems so that they can meet schedules.

_____ **d.** Meet the three members and discuss the problem. Together you would arrive at conclusions about adjustments on their actions and the schedule.

6. As principal of an elementary school, you often handle disciplinary cases. Over the past six months, one of your fifteen teachers has referred an unusually large number of cases to your attention. This fact, combined with other information you have received, leads you to believe that there is a serious breakdown of discipline in that teacher's room.
Would you:

_____ **a.** Ask the teacher to be more conscious of the problem and to take steps to remedy the situation. Leave the future steps to the teacher.

_____ **b.** Decide to reassign the teacher to a group of students where fewer disciplinary problems have existed, using the information you already have in hand.

_____ **c.** Consult with the teacher to get an explanation of the problem. You would then make a decision on the appropriate assignment or disciplining of the teacher, using your own opinion of what should be done.

_____ **d.** Sit down and discuss the problem at length with the teacher. Together you would try to find problem sources and solutions.

7. You are the district supervisor of a large sales distribution organization. You are opening up a new sales territory in a state where you have never had a sales force before. You have just hired a person to be the manager of the state sales office in one of the state's three major communities. The data that have been collected indicate that none of the cities offers a clear advantage over the other cities so far as your company is concerned. The new person you've hired has thoughts about which city should be chosen.
Would you:

_____ **a.** Ask for the new state sales manager's thoughts on the best location, and then decide on a location which seems best to you. Your decision might or might not reflect suggestions received.

_____ **b.** Tell the new state sales manager to choose the location the sales manager prefers. The preference would then be accepted.

_____ **c.** Analyze the problem together with the new state sales manager and reach a decision together that you both feel is appropriate.

_____ **d.** Make the decision yourself with the information already available to you. Then you would announce it to the new sales manager and the other people affected.

8. The marketing research department of your company has told you (as a manager of product design) that your customer would prefer to buy your products in three specific colors—blue, green, and yellow. Your current product is produced in none of these colors. The cost of producing the new colors is the same as the cost for producing the present colors.
Would you:

_____ **a.** Consult with your production employees about the problem and make a decision as a team effort.

_____ **b.** Ask for the opinion of some of your subordinates, then make a decision. Your decision might or might not reflect the opinions of your subordinates.

_____ **c.** Let the production people decide which colors they wish to produce. You would, of course, share the information with them that you received from marketing research.

_____ **d.** Make a decision yourself using the data available to you without consulting with anyone else.

Interpretation

Four leadership styles are involved as choices for each situation. They include autocratic (A), consultative (C), group (G), and delegative (D), much like the original Vroom-Yetton model. Accordingly, the choices in the eight situations are:

1.	a. G	2.	a. C	3.	a. D	4.	a. D
	b. C		b. A		b. G		b. C
	c. A		c. D		c. C		c. G
	d. D		d. G		d. A		d. A
5.	a. A	6.	a. D	7.	a. C	8.	a. G
	b. C		b. A		b. D		b. C
	c. D		c. C		c. G		c. D
	d. G		d. G		d. A		d. A

If you used one style more frequently than other styles, this may be your dominant or pre-ferred style. If you used each type at least once, this may indicate that you are flexible in the ability to adapt to a situation.

An R2 person is unable but willing or confident. The R2 person needs a selling kind of leadership which explains, persuades, and clarifies.

An R3 person is able, but unwilling or lacking in confidence. The R3 needs a participating leader who will collaborate, facilitate, and commit.

The R4 person is able and willing or confident. This type of person needs leadership that is delegating. There is little need for guidance; the leader mostly observes and monitors.[18]

The leadership approach is chosen to fit the ability, willingness, and con-fidence level of the employee.

The Path-Goal View of Leadership

One of the most recent theories of leadership from the situational per-spective is the path-goal model (see Table 10.3). According to this view, the primary roles of the leader are to provide stimuli and reward opportunities to keep the followers motivated while making the path to payoffs easier to travel. The path is kept clear by revealing the path, reducing roadblocks and pitfalls, and increasing the opportunities for personal satisfaction along the way.[19] Leader behavior is dependent upon the needs of the follower, the re-wards that are available, and the obstacles confronting the follower.

FIGURE 10.2. Questions and Sequence Used to Determine the Appropriate Leader-Decision Style

A. Is there a quality requirement such that one solution is likely to be more rational than another?
B. Do I have sufficient info to make a high quality decision?
C. Is the problem structured?
D. Is acceptance of decision by subordinates critical to effective implementation?
E. If I were to make the decision by myself, is it reasonably certain that it would be accepted by my subordinates?
F. Do subordinates share the organizational goals to be attained in solving this problem?
G. Is conflict among subordinates likely in preferred solutions? (This question is irrelevant to individual problems.)
H. Do subordinates have sufficient info to make a high quality decision?
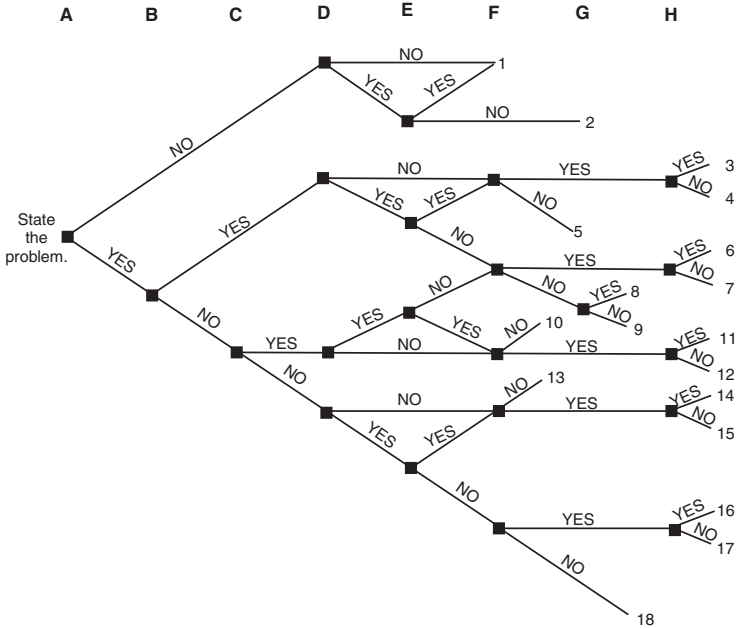
The feasible set is shown for each problem type for Group (G) and individual (I) problems.

1{ G: AI, AII, CI, CII, GII
   I: AI, DI, AII, CI, GI

2{ G: GII
   I: DI, GI

3{ G: AI, AII, CI, CII, GII
   I: AI, DI, AII, CI, GI

4{ G: AI, AII, CI, CII, GII
   I: AI, AII, CI, GI

5{ G: AI, AII, CI, CII
   I: AI, AII, CI

6{ G: GII
   I: DI, GI

7{ G: GII
   I: GI

8{ G: CII
   I: CI

9{ G: CI, CII
   I: CI

10{ G: AII, CI, CII
    I: AII, CI

11{ G: AII, CI, CII, GII
    I: DI, AII, CI, GI

12{ G: AII, CI, CII, GII
    I: AII, CI, GI

13{ G: CII
    I: CI

14{ G: CII, GII
    I: DI, CI, GI

15{ G: CII, GII
    I: CI, GI

16{ G: GII
    I: DI, GI

17{ G: GII
    I: GI

18{ G: CII
    I: CI

TABLE 10.3. Types of Path-Goal Leadership with Appropriate Conditions for Use

Leadership Type	Description	Appropriate Time for Usage	Inappropriate Time for Usage
Directive or initiating	Planning, organizing, structure controlling, and coordination of subordinate activities.	When task is ambiguous and procedures and policies are unclear or conflicting.	When task, procedures, and policies are clear.
Supportive	Considering the needs of subordinates; displaying concern for the subordinates' well-being, status, and comfort; and creating a friendly, pleasant environment.	When work is stressful or dissatisfying.	When work is satisfying and conditions are good.
Participative	Sharing information, power, and influence between supervisors and subordinates. Treating subordinates as equals, allowing them to influence the leader's decisions.	When tasks are ego involving, where subordinates are independent and nonauthoritarian involved.	When subordinates are not ego involved.
Achievement-oriented	Setting challenging goals, expecting high performance, showing confidence in subordinates, seeking continually improved performance.	When individuals are working on ambiguous, nonrepetitive tasks.	When goals are clearly defined and subordinates are self-motivating.

Source: Adapted from Alan C. Filley, Robert J. House, and Steven Kerr, *Managerial Process and Organizational Behavior* (Glenview, IL: Scott Foresman, 1976).

As Table 10.3 shows, there are four leadership types related to the path-goal framework. The appropriate style is chosen based upon the needs of the situation. Leadership here, simply stated, is providing the motivation, instruction, and assistance that will enable a subordinate to be productive and fulfilled. A new employee in an uncertain situation with hazy performance guidelines might need directive leadership, while a long-term employee performing a familiar task might be better served by the supportive approach. The leader must change his or her method of dealing with subordinates based upon the conditions present.

Look back at the Ted Gunderson case. Rudy Grantham, as a struggling new foreman, may need a directive approach, while Ralph Cannister, the experienced employee with high goals, may respond best to the achievement-oriented style that Gunderson appears to be using. No wonder Cannister is so much more satisfied that Grantham.

Transactional and Transformational Approaches

Another of the situational leadership perspectives is known as the transactional-transformational approach. Actually, these approaches have their own separate identities. The transactional approach is used in day-to-day, standard kinds of leadership situations. Leadership actions are based upon the answers identified when two questions are asked: "Does this employee I'm working with properly understand his or her job requirements?" and "Is he or she properly motivated to perform the job?"

If the individual being led clearly understands what is supposed to be done, and if the individual is sufficiently motivated to do the job, the leader has very little to do. If the individual does not know or understand the job and/or if the individual is not adequately motivated, the leader is responsible for seeing that performance requirements are communicated and comprehended and/or that the appropriate incentives are made available to result in motivation giving way to performance.

Transformational leadership involves change—leading individuals or groups to higher levels of performance. The leader surveys the situation first to see how everyday performance is occurring. The leader then seeks to increase performance, raising it to higher levels. The situational questions to ask in transformational leadership are: "What additional performance is this individual (or group) capable of?" and "What kinds of incentives will cause this person to increase performance levels?" In response to the first question's answers, the leader's role then is to communicate the higher performance expectations, see that adequate training and equipping is provided, and help the individual come to feel capable of performing at the next level. The leader's role after the motive-incentive question has been answered is to see that increased rewards are made available and other techniques necessary are used to increase the performer's level of motivation.[20]

FLEXIBLE LEADERSHIP—
ADAPTING THE APPROPRIATE LEADERSHIP STYLE
TO A SITUATION

By now you may be saying to yourself, "That's a lot of theories. Sure, they all suggest a need for flexibility in leadership style, but how do I put them together to form a basis for *my* style?" Let's talk about that.

The leader wanting to use flexible leadership will be confronted with two major challenges. First, the leader must determine the type of leadership needed in a specific situation. This determination will come through analysis of the prevailing circumstances. Second, the leader's style will need to be adjusted to fit the present needs, or, according to Fiedler, the leader must

be replaced with the appropriate type of person if the leader's own personal style does not match the situation.

The analytical process involves a number of questions regarding decisions. Let's suppose for the moment that we have decided that there are three styles of leadership to which we've given primary attention. There is autocratic leadership, which is a very direct, close type of supervision. With autocratic leadership, the leader makes decisions without input from anyone else. The second style of leader—the participative leader—consults with others before making a decision. The third—the delegative leader—delegates the authority to and places the responsibility on someone else for carrying out the decision (see Figure 10.3).

DETERMINING LEADERSHIP NEEDS

By combining the questions raised in the situational theories and those from the decision tree along with the ideas from the path-goal theory, it is possible to develop a fairly comprehensive evaluation to determine appropriate leadership needs. The combination of questions results in a set of materials in four major categories: (1) factors in the organization, (2) factors in the leader-supervisor, (3) factors in the subordinates, and (4) factors in the task situation.

The factors chosen represent four significant influences upon the appropriateness of a leadership style. Factors within the organization provide the framework for all supervisory action. Factors within the leader-supervisor recognize the effects of the leader's own abilities, attitudes, and goals upon superior-subordinate relations. Factors within the subordinates reflect the needs of the subordinates for large or small amounts of direction and control. Factors in the task situation explore the effects of job complexity and the time element upon leadership decisions.

FIGURE 10.3. Autocratic, Participative, and Delegative Leadership Styles

Autocratic Leader

"Look, I'm the boss around here. I'll make the decisions and I'll tell you what I want you to do. You'd better do your job because I'll be watching your every move."

Participative Leader

"I'm sure you understand that the final responsibility for making a decision is mine, but I'd like your thoughts and ideas. I'd like your help in the implementation of the decision once it's been made."

Delegative Leader

"Here's a job for you to do. Do it any way you want to so long as it gets done. I'll expect to hear from you only when you are experiencing unusual difficulties."

The four major factors are shown in Table 10.4, with a list of questions probing for clues to the proper choice shown beneath each factor. The three leadership styles are then tested against the questions to find the conditions under which that leadership style is most appropriate, other things being equal.

To illustrate the appropriate adaptation of the right leadership style to the right situation, a review of the factors in Table 10.4 indicates that autocratic leadership is the appropriate style when a set of conditions exists in which the subordinates lack knowledge of the company goals and objectives, where the company endorses fear and punishment as acceptable disciplinary techniques, where the workers are inexperienced and somewhat lacking in training, and where there is little room for error in the final performance. These conditions, other things being equal, would suggest the appropriateness of rather strong, autocratic leadership to provide the needed force, direction, and control.

Participative leadership might be more appropriate under conditions in which the company has communicated its goals and objectives to the subordinates and the subordinates have accepted them, where the company practices the use of rewards and involvement as the primary means of motivation and control, where the leader-supervisor truly desires to hear the ideas of others before making decisions, where the leader wishes to develop analytical and self-control abilities in subordinates, where workers are reasonably knowledgeable and experienced, where subordinates desire involvement in matters that affect them, and where the time for task completion allows for participation. If other conditions are relatively neutral, these conditions would suggest the appropriateness of the participative style in meeting existing demands. Of the various leadership patterns available to managers, we can guess that, idealistically, the participative approach is probably the most popular. It continues to generate a significant amount of study and support.[21]

The delegative style of leadership would seem to be most appropriate under conditions in which company goals have been thoroughly communicated and are highly acceptable to those who must abide by them. In fact, the company's goals and the employees' goals need to be highly compatible. In addition, delegative leadership is most appropriate when the leader desires to delegate decision making fully; when the leader has a high degree of confidence in the abilities of employees; when the employees themselves are well trained and highly knowledgeable concerning their jobs and are willing to assume responsibility for decision making and self-control; when the employees have a high need for independence; when the workers derive large amounts of personal satisfaction from their work; and where performance demands allow some room for error if mistakes occur in the rather decentralized arrangement. Under these conditions, in which workers are highly competent and self-motivated and organizational conditions are nearly ideal, delegative leadership may be utilized most successfully.

TABLE 10.4. Factors and Primary Determinants in the Selection of the Appropriate Leadership Style

Factors in the Selection of a Leadership Style	LEADERSHIP STYLE		
	Autocratic Leadership	*Participative Leadership*	*Delegative Leadership*
Factors in the Organization			
1. How clearly are organization goals defined?	Clear definition is helpful	Clear definition is a requisite	Clear definition is a requisite
2. How thoroughly have goals been communicated to subordinates?	May or may not have been communicated	Must be communicated rather thoroughly	Must be thoroughly communicated
3. How adequate are formal communication channels? Are both upward and downward channels provided for?	Downward channels are definitely provided for	Two-way communication is provided for and encouraged	Two-way communication is provided for but used infrequently
4. Does company philosophy support the predominant use of (1) fear?(2) threats?(3) punishment?(4) rewards?(5) involvement?	Mostly 1, 2, and 3 are encouraged	Mostly 4 and 5 are used	4, 5, and sometimes 3 are used
5. How wide is the normal span of supervision and control?	Is usually narrow	Must be moderately narrow	Can be wide
Factors in the Leader-Manager			
1. What are the leader's inclinations in terms of communicating to, listening to, and empathizing with employees?	Tends to be somewhat self-centered	Is keenly aware of and interested in employees	Tends to observe only highlights and trouble spots
2. What are the leader's attitudes toward involvement in decision making?	Prefers own decisions to decisions of others	Wants ideas from others before deciding	Prefers to let others make decisions on their own
3. What degree of confidence and trust does the leader have in the abilities and knowledge of his or her subordinates?	Has a questionable amount	Has a reasonably high degree	Has a high degree
4. How knowledgeable is the leader concerning decisions that must be performed?	Must be highly knowledgeable	May be moderately to highly knowledgeable	May or may not be knowledgeable
5. How important to the leader is the development of analytical skills and self-control abilities in the subordinates?	Is unimportant	Is important	Is highly important

Factors in the Subordinates

1. To what degree do subordinates accept the goals of the company, and how loyal are they to these goals?	Accepted to a questionable degree in both areas	Some degree of acceptance and loyalty is evidenced	High degree of acceptance and loyalty is essential
2. Do the subordinates have a relatively high need for independence?	No, they prefer dependence	At least moderately, yes	Yes
3. Are the subordinates willing to assume responsibility for decision making and self-control?	May not be willing	Should be at least moderately willing	Must be willing
4. How much personal satisfaction do workers derive from the performance of their jobs?	A questionable degree is derived	A moderate to high degree is attained	A high degree is achieved
5. Are the subordinates well trained, knowledgeable, and experienced at their work?	Usually are not	Yes, from a moderate to high degree	Yes, they must be of necessity
6. Have the subordinates shared in decision making and control processes previously?	Probably not much	Probably, to some degree	Yes, they should be well acquainted with decision making and control responsibilities
7. Are the subordinates' personal goals and objectives compatible with those of the organization?	Questionably so	Normally this is necessary	Yes, this is essential
8. Do subordinates have mutually positive respect for each other?	May or may not have any	Yes, this is very helpful	Yes, this is vital

Factors in the Task Situation

1. How much room for error is there in the task to be accomplished?	Little or no room available	Is limited to moderate amount	Moderate amount is possible
2. How much time is available for making decisions and completing tasks?	Very little is available	A moderate to large amount of time is available	(Not applicable)
3. How important are new ideas and innovations to the successful task completion?	Is considered unimportant	Is thought to be important	Is felt to be very important

The individual leader-supervisor who is to be proficient in the application of leadership styles must be well informed on organizational policies, plans, and structures that influence the choice of style. The adaptive leader must practice introspection to discern personal inclinations, desires, and motivations. The leaders must also be keenly empathetic to the needs, de-

sires, abilities, and knowledge of the subordinates being led. The leaders must be able to size up task situation factors that might influence a subordinate's need for leadership.

The use of adaptive leadership becomes a demanding yet interesting challenge to the conscientious leader. Adaptive leadership demands much from the leader, both perceptively and actively, but the results of such efforts are beneficial to the leader, the employees, and the company. Each human aspect of the organization receives the proper amount of attention and guidance when adaptive leadership is practiced.

THE PROBLEM OF CONSISTENCY

In applying adaptive leadership, the leader often finds it necessary to change approaches in dealing with certain followers. This shift in leadership approaches ordinarily is effective in accomplishing its purposes, but the use of this flexible approach may sometimes cause confusion and misunderstanding. Worker A may believe that the leadership being received is erratic if autocratic supervision is used in an emergency and then later in the same day the worker is given a free hand to do whatever the worker pleases on a less urgent project. Worker B may feel unfairly treated when the boss gives a free rein to one of the worker's colleagues, Worker C, and then spells out in detail what Worker B must do in performing tasks.

Changes in leadership style when dealing with one specific employee usually are a result of a change in the task. The factors involved in the leader, the employee, and the organizational setting tend to remain more constant. Task changes may result from modifications in the tolerance of errors, the amount of time available to act, or the need for creative thinking. If the task changes, the leader might be well advised to inform the worker of the change before modifying the leadership style. For example, when a supervisor finds it necessary to retract the freedom given to an employee because of time constraints, it would be helpful to inform the employee of this by saying, "John, you know I normally would have discussed this with you before taking action. But I had to tell our customer what we could do for her while I was talking to her on the phone. I had to make a decision before talking with you." Most subordinates will accept changes in leadership exercised toward them if the modifications are explained adequately and appear to be reasonable.

The simultaneous use of different leadership styles toward different employees is a more difficult problem to handle. Supposedly, the change is not made necessary by organizational factors or leader-supervisor factors, which remain fairly constant. If there is a need for a variation of the leadership style applied to two different subordinates, factors regarding the task and the subordinates usually account for the style change. In analyzing our

opening case, we have suggested that Ted Gunderson might need to use a more directive approach with Rudy Grantham than with Ralph Cannister based largely on Grantham's inexperience. Abilities and motivation also enter in. If a supervisor has little confidence in the abilities of a worker and the project must be completed without error, the supervisor might become highly autocratic. If, on the other hand, the leader has high confidence in a worker and the performance level is flexible, a more participative style might be used.

Some workers recognize the leadership they are receiving as the kind of leadership they need to get their work done. In such situations, the difference between the leadership style applied to them and that applied to other workers may be quite acceptable. However, a worker who feels unfairly treated or discriminated against by the unequal leadership actions of a superior might develop concern or resentment.

Some recent work does suggest that workers are well aware of differences in supervisory behavior toward different people. It is known, for example, that employees the boss treats as part of the "in crowd" are the recipients of more assistance, more patience, more open communication, more responsible tasks, and so forth. People the boss treats as part of the "out group," on the other hand, receive no more attention than is absolutely required by the job. These employees must literally protect themselves and their rights.[22] This approach is known as the leader-member exchange (LMX) or vertical dyad technique.

If a worker is unhappy because attention received personally seems more autocratic than attention other workers are being given, the leader should sense this and help the subordinate to understand the reasons for the difference in treatment. If the difference is related to task factors, the communication of this fact may resolve the employee's unhappiness. If the reason for the difference is a factor within the employee, the leader may be able to point out that the employee who is given more freedom of movement has won freedom on the basis of long years of experience, concentrated effort to develop skills, or other factors of merit. The worker in question can be encouraged to devote efforts in the same way if autonomy is being sought. The typical leadership reaction in this situation might be, "Susan has performed this task so many times she can almost do it backward. She doesn't need my assistance. As you repeat the job, you'll be the same way, and I will not stick as close to you either."

If the worker, on the other hand, feels neglected because the boss does not give as much attention and help as he or she gives to others, the leader-supervisor may be able to point out that the worker is believed to be capable of self-direction. Assurance should be given that the supervisor is interested in the worker and stands ready to help when needed. Look at

Rudy Grantham's reaction in our opening case for an example of what can happen when employees feel that their manager is neglecting them.

Other problems may also develop in the application of leadership techniques; with effort, the problems can be overcome. Leadership techniques and styles properly applied are a major factor in the success or failure of organizational achievement. Adaptive leadership is an invaluable aid in the accomplishment of organizational objectives.

SUMMARY

In this chapter, several schools of thought have been examined concerning leaders and what they should do in organizations. The contemporary view seems to embrace the situational approach in particular. From this view, it is the leader's responsibility to analyze the factors present in each set of circumstances. From the analysis, the appropriate leadership actions can be determined. Fiedler says to look at leader-member relations, task structure, and position power. By using these factors, a decision can be made about the use of task-oriented or relationship-oriented behavior. Vroom and Yetton formulate a lengthier list of eight considerations toward selection of autocratic, consultative, or group leadership. Path-goal leadership uses the clarity of task definition, the ego-involvement of the subordinates, the repetitive nature of tasks, and the level of a subordinate's motivation, along with other clues, to determine whether directive, supportive, participative, or achievement-oriented leadership is needed. It is possible to develop an analytical grid to evaluate leadership needs.

Fiedler would suggest changing leaders to fit situational requirements. Other models would call for the leader to adjust his or her technique to fit the circumstances. Most models suggest the value of consistent treatment of employees.

The ideal that leadership is providing an employee with the support, information, and guidance to do the job effectively seems pertinent. Some workers, of course, need much support, while others need very little.

QUESTIONS TO CONSIDER

1. Why is it that some individuals with seemingly attractive leadership qualities are not leaders? In other words, why aren't some people who seem to possess leadership qualifications in leadership capacities?
2. Is it possible for individuals who are not leaders to develop skills and attributes so that they can become leaders?
3. What are your own preferred styles of providing leadership for others?

4. What leadership preferences do you have for receiving support and guidance from others?
5. Is it realistic to believe that an individual can change the style of leadership to meet the needs of a specific situation? Why or why not?
6. How can an appropriate level of consistency be achieved in the face of a need for adaptability and flexibility?
7. Is it ethical to treat people differently, that is, to give individuals different directions, rewards, punishments, and so forth? Why or why not?

CHAPTER CASE:
SEEING THROUGH THINGS IN RADIOLOGY

Upon graduation, you go to work in the human resource department of a large hospital in the area. You immediately learn that your boss is frustrated and unhappy. You ask why.

"You have no idea what this job is like," the boss responds. "It's always a bad situation being in human resources: you've got all of the problems but none of the power to do anything about them. But this is ridiculous. Those radiologists are going to drive me crazy!"

Naturally, you ask what's going on. She responds:

> I'll tell you what. Why don't you go over to the radiology department and see for yourself? They have a departmental thing this morning, and the department head has asked me to come over and try to straighten things out. I'll call him and tell him that I'm tied up but that I'm sending you instead. Maybe a fresh viewpoint will help—and at least it will give you a chance to try out some of those wild ideas about organizational behavior that you picked up at school.

You arrive at radiology and are taken to the office of Edward Ogden, the department head.

"I hope you can give me some ideas," he says, shaking his head in despair. "I just don't know what to do next."

Again, you ask what the problem is.

Ogden responds:

> It's the people. You have to realize that radiologists are all prima donnas. They're extremely smart or they would never have gotten out of medical school. But they just don't have any human relations skills. They fight with everyone in the hospital—the other doctors, the nurses, the staff, and one another. And as far as trying to manage them goes—well, forget that. Anytime I try to give them any orders at all,

they simply refuse; they say that they're bound by the Hippocratic Oath they took to practice medicine according to the dictates of their consciences and that no one else can tell them what to do. Imagine trying to manage a mess like that.

You ask for some background on how the department is set up, how it operates, and what it does. Ogden explains that there are twelve radiologists in the department and that Pat Burns is the informal lead person. Pat has been in the department longest and has the most outstanding reputation—in fact, Pat is often out of the office and the area consulting on difficult cases or giving speeches at conventions and meetings. Pat is supposed to make assignments to remaining staff members and be available to consult with them. In Pat's absence, assignments either aren't made or are informally split up by the group members themselves. Considerable confusion and animosity results.

"Why don't you step in and give direction in Pat's absence?" you ask Ogden. Ogden responds:

> That's part of the problem. You have to remember that I've been in administration for years. My skills simply aren't state of the art anymore. I'm not really in a position to be of help in technical areas. Worse yet, we're in an extremely dynamic situation here. The hospital gets all of the most advanced and problem-filled cases, and the doctors are continually overworked just trying to stay up with the patient load and to keep up professionally.

Obviously, there is a problem with leadership in this situation.

Case Questions

1. How would researchers such as Likert and Blake and McCanse analyze this situation? What would they recommend? Discuss their theories, comparing and contrasting them. Show specifically how each would work.
2. What would the situational theorists, especially Fiedler, Vroom-Yetton, and the path-goal model say about this specific situation? Again, be specific and draw on the theories.
3. What, then, are your suggestions to help Edward Ogden?

GLOSSARY

behavior theories of leadership: Explanations of why individuals are followed by others based on the concept that successful leaders perform activities or duties differently from other less successful individuals.

leadership approaches or styles: A pattern of interacting with others for leadership purposes that consistently uses the same methods or techniques.

Leadership Grid©: A leadership style concept developed by Robert Blake and Anne McCanse for purposes of diagnosing leadership styles and proposing an idealistic style (the 9,9 approach).

nine-nine (9,9) leadership: The idealistic style of leadership proposed in the Leadership Grid in which the best leader pursues task and human goals to the fullest degree possible.

situational leadership: The view of leadership activities that suggests that there is no single best way leaders should perform. Each leadership situation must be judged and responded to based upon its own unique needs.

System 4: A leadership style proposed by Rensis Likert that calls for participative leadership using a team-oriented concept of people in organizations.

trait approach: The theory of leadership that states that individuals are granted the right to give direction because they possess certain respected traits, such as physical and mental qualities, knowledge, and skills.

Chapter 11

Stimulating Employees to Action—
The Motivational Process

OBJECTIVES

- To discover how the needs of the worker can be used as motivators
- To question the psychological state of employees when cognitive needs-oriented motivational techniques are used
- To identify the questions an employee asks and the decisions employees make when needs-centered motivation is being applied
- To become aware of the significance of reward action following successful performance
- To analyze the importance of perceived fair treatment (equity) in the motivational process
- To recognize how negative motivational techniques can provide incentives for good performance
- To discover how the setting of challenging goals stimulates performance
- To learn to analyze the motivational potential of the jobs being performed in an organization in order to enhance each job

A CASE TO CONSIDER:
BRENT TEMPLETON—
THE UNINSPIRED DRAFTSMAN

Brent Templeton is a draftsman for a large industrial equipment manufacturer. He has been with the company for more than seven years and is well respected for his abilities. In a recent conversation with one of his friends, Brent revealed the following thoughts about his work.

> I really shouldn't complain about my job, I guess. The money is good. The working conditions are excellent. I have good friends who work with me, and that's important. Although retirement is a long way

off, I'm putting aside funds to help me live comfortably then. I'm also setting aside money to put our children through college when the time comes.

My problem is this: I just don't see anything different in the future. I have already reached the top of the pay scale for draftsmen. Except for cost-of-living adjustments, my income will never be much greater than it is now. More important, I've reached the top level for promotions that a draftsman can achieve. To get into a higher level design or engineering job, the company requires you to be a college graduate. Since I don't have a college degree, I have no real hope of advancing. Even if I could go back to college to get a degree, it would take years for me to get one. I must support my family; so I can spare neither the time nor the money that would be necessary to get a degree.

As I view the alternatives available, I just don't see many within the company itself. Perhaps what I should do is get involved in something off the job that would be stimulating. One of the boys' clubs in town needs someone to teach the kids how to do carpentry and woodwork, and I'm pretty good at those things; so I may volunteer to work in the program.

I guess it's not really important that I be all fired up about my work with this company. Just so long as I do my job and stay out of trouble, that's all that's really important, isn't it?

Case Questions

1. On the basis of material presented in this chapter, which of Brent Templeton's needs are being fulfilled by his employing organization?
2. Which of Brent's needs, goals, or expectations are not being met by his employer? Why is this particularly discouraging to Brent?
3. Is it important that Brent be excited about his work, or is it enough to expect him to do his job and stay out of trouble? What steps could Brent's employer take that would result in a change of attitude and improve his inspiration to perform?
4. With a partner, role-play this case with one person playing Brent's role and the other acting out the role of Brent's boss. Seek to identify the causes of the problems that have developed and the possible solutions.

* * *

For those serving in supervisory capacities, a major responsibility is goal achievement. Goals are attained by working with and through bosses, workers, and fellow employees. Managers are expected to stimulate employees to perform their own duties and responsibilities usefully and constructively. The function of stimulating others toward productive performance is called the motivational process. Motivation has also been defined as the process of

arousing action, sustaining the activity in progress, and regulating the pattern of activity.[1] Thus, the motivational process attracts and initiates action and serves as a factor in assuming that activity continues until objectives are attained. But how does one do it? That's the trick, isn't it? You undoubtedly can think back to times in the past when you were motivated and eager to accomplish a goal. How could you get others to want to do it? That's what this and the next chapter will consider.

There are two contemporary views of the motivational process. The approach discussed in this chapter is usually known as the needs view or the cognitive approach. The other approach—the conditioning or reinforcement view—is discussed in Chapter 12.

ASSUMPTIONS UNDERLYING NEEDS-BASED MOTIVATION

The cognitive (needs) concept of motivation is based upon several assumptions about people and what people think and do. More specifically, the needs view of motivation seems to assume the following:

1. Individual workers are aware of their own personal needs in a conscious manner. Each individual knows whether affiliation needs are personally important, whether power needs are greater than security needs, and so forth. People recognize urgencies and are capable of putting them into priority.
2. Motives are primarily internal needs and not created by the environment.
3. People are capable of assessing activities available to them to determine that if they do well and receive rewards for their performance, the result will be the fulfillment of known internal needs.
4. Individuals are future oriented in their motivational drives. Instead of looking to past performances and past rewards, individuals are concerned about existing and future unfilled needs, not past fulfilled ones.[2]

The cognitive approach to motivation suggests basically that people are mentally aware of how situations around them appeal to their needs. At the same time, people recognize the consequences (effects) of their own personal actions as those actions result in rewards and penalties. The key to cognitive motivation is the fact that the performer senses or comprehends what is taking place. Although these seem like logical assumptions, they contrast in important respects with the acognitive approach (discussed in Chapter 12).

WHERE DO MOTIVES FIT INTO MOTIVATION?

By using the assumptions of cognitive-needs theories, it is possible to build a model of motivation. The model begins with the motive of the prospective performer. One definition of the motive states that it "is an inner state that energizes, activates, or moves and directs or channels behavior toward goals." Environmental factors influence the development and expression of motives, but the motive (or need) is centered within the individual human being. Motives cause individuals to reach out, to seek fulfillment, to begin searching for gratification. Figure 11.1 shows that motives initially may look for fulfillment in a number of ways.

You have undoubtedly experienced this in your own life. Suppose you have been cooped up at home with the flu for the past week. You are now well and motivated to get out and socialize. What will you do to meet your need for socializing? A number of possibilities might come to mind: stopping by a friend's house, participating in a sports event, or going driving. You will select the alternative that best meets your needs at that time.

The incentive enters the motivational process as Phase 2. The relationship between an incentive and a motive is very similar to the relationship between a magnet and a metallic object. The metallic object represents the need or needs an individual has, while the magnet represents the incentive that can be received in return for the appropriate action or effort. If an unattractive incentive is offered, it will have no appeal (will have no magnetic attraction). The motive seeks a means to accomplish need fulfillment, and the incentive appeals to the motive and attempts to mobilize it into action by promising the attainment of the urgent need (see Figure 11.2).

Just as a magnet must be directed toward the metal object, so the incentive must be directed so that it appeals precisely to the personal motive. This means that the incentive must be tailored to the motive. Continuing with our example, if you're longing to socialize, the prospect of spending a quiet evening at home with a good book just won't work. In the organizational setting, if the urgent motive of an individual is, for example, the need for power, an incentive in the form of better working conditions will not draw out the desired result. However, if the promised reward is a promotion with

FIGURE 11.1. Motive in Search of Fulfillment
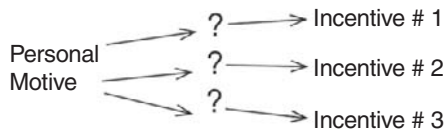
Which incentive offers the best need fulfillment?

FIGURE 11.2. Magnetic Effect of the Incentive
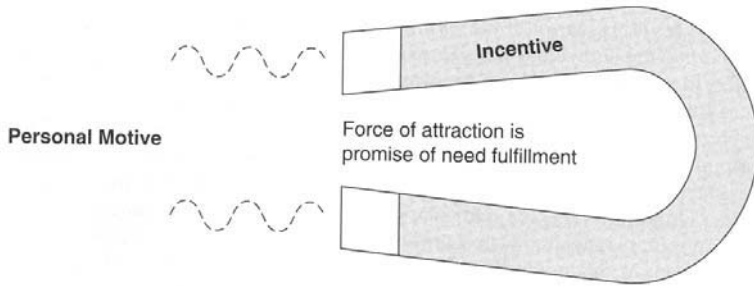
increased authority, the individual can be expected to respond with the appropriate effort to earn that which was promised by the incentive.

As the power-oriented individual may respond to the opportunity to gain more power, so may the friendship-starved individual be appealed to by the opportunity for socializing. Other motives (such as the needs discussed in Chapter 9) create the same need-action sequence. What does this mean? Incentives that are relevant to a particular person will attract that person's attention. This, in turn, may lead to action. Incentives that are not relevant will be ignored or rejected. At this point, the first of our cognitive models of the motivational process comes into play. Let's see how expectancy theory enters in.

EXPECTANCY THEORY

One form of cognitive motivation is known as expectancy theory. Simply stated, expectancy theory operates on the premise that people behave as they do in response to their expectations about the future. People do things if a positive, valuable reward can be expected as a result but will do little for unattractive, irrelevant rewards or no rewards at all. They respond to opportunities that have reward, utility, or reinforcement value. People have preferences and desires about the future that affect what they will and will not do in an organizational setting.[3] An easy way to think about this is to look back at the opening case. It's obvious that Brent Templeton's lack of motivation had a lot to do with his expectation that the future had little for him in the way of rewards—promotions and raises, for example.

According to the positive motivational model (see Figure 11.3), supposing an incentive appears to offer a means for satisfying the motive, the individual considers the value of the incentive as a means for fulfilling the motive. This is Phase 3 of the motivational process. The chief consideration at

FIGURE 11.3. Positive Motivational Model (Cognitive-Needs View)
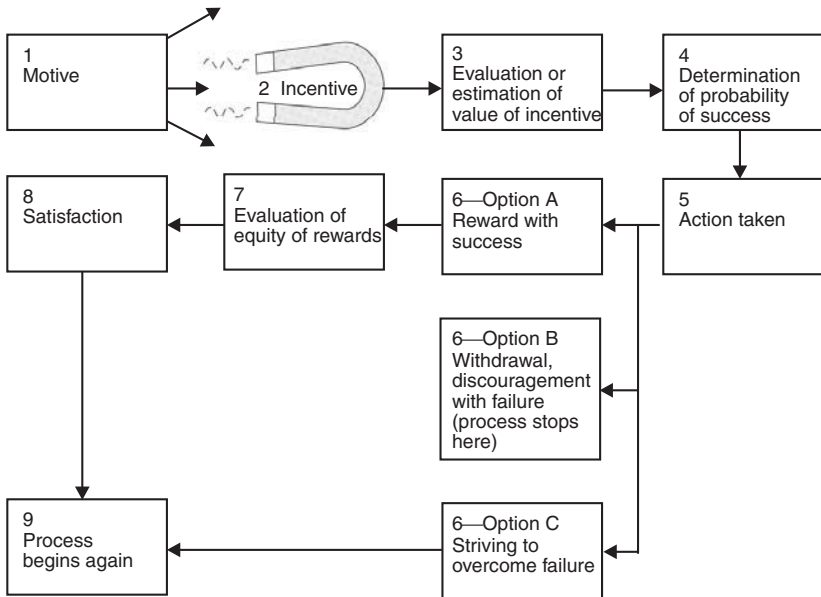
this point is the value of the incentive or reward which is offered for performing. The value of a particular incentive or reward is considered on the basis of two criteria: (1) to what degree will the unfilled need be satisfied, and (2) will the reward (if attained as promised) be equal to or greater than the effort required to perform successfully and to earn the promised reward? Figure 11.4 shows a break-even analysis an employee might use when considering the value of additional monetary rewards. This analysis sometimes is done subconsciously. The question here is: "Will the reward I get be worth the time and effort it cost me to get it?" In Brent's case, we would expect little extra effort; the break-even analysis says it's not worth it.

How do people decide what they value? The process is both complex and subjective, of course. People consider previous experience, existing urgencies, and future needs in an attempt to determine what the potential for satisfaction will be. There's also the relevance of the incentive to the felt need and the demands in terms of mental and physical effort. For example, consider the case in which management offered to promote Tom, a skilled and talented nonmanagement employee, to the position of foreman. The employee's managers were surprised when Tom flatly refused the offer.

"My leisure time means too much to me," Tom said. "The extra pay's not worth having to take on the hassle of being a manager!"

FIGURE 11.4. Relationship Between Perceived Personal Cost and Perceived Value of Obtained Monetary Rewards
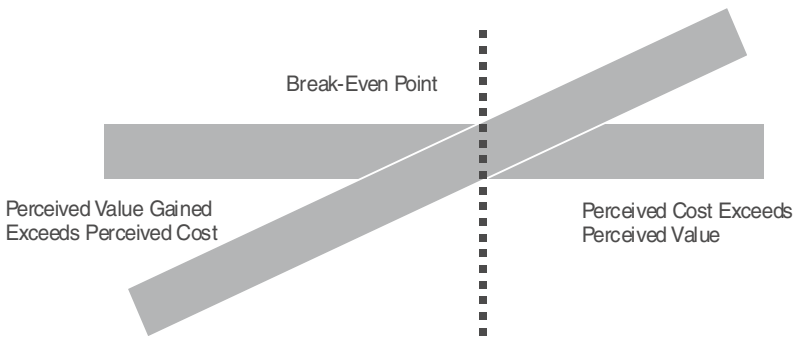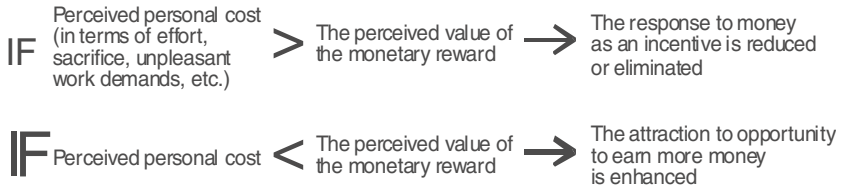
One thing is clear. The reward—promotion—wasn't valued in this situation.

Suppose the reward is valued. Then what? If the promise of reward is perceived to be acceptable, the motivational process moves to another preaction phase—the probability that the individual can perform in such a way that the reward promised can be successfully earned (Phase 4). In effect, the person is asking, "Can I actually do what's wanted of me?"

People think about the probability of successful performance in several ways (see Figure 11.5). The worker surveys (often subconsciously) personal knowledge and skills related to the demands of the job to determine if personal performance capabilities are good enough to earn the anticipated reward. The worker analyzes accessible resources (including machinery, materials, etc.) to determine their availability and adequacy. The individual also considers the amount and type of support that can be expected from superiors, colleagues (peers), employees, and other personnel on whom the employee may be dependent. The availability and support of others may be an extremely important part of the success-potential analysis.

Another factor that enters into the assessment of the probability of success is time. The worker reviews (again, perhaps subconsciously) the time available for performance in an effort to judge whether the amount of time is

FIGURE 11.5. Evaluating Probabilities of Successful Performance

Individual	Evaluate	To Determine If He or She Should
	Self (own skills and knowledge)	
	His or her boss (to determine the support he or she will gain)	STOP
	Other workers (to determine the cooperation he or she will receive)	EXERCISE CAUTION
	Available materials and resources books computer equipment	GO
	Allotted amount of time	
	etc.	
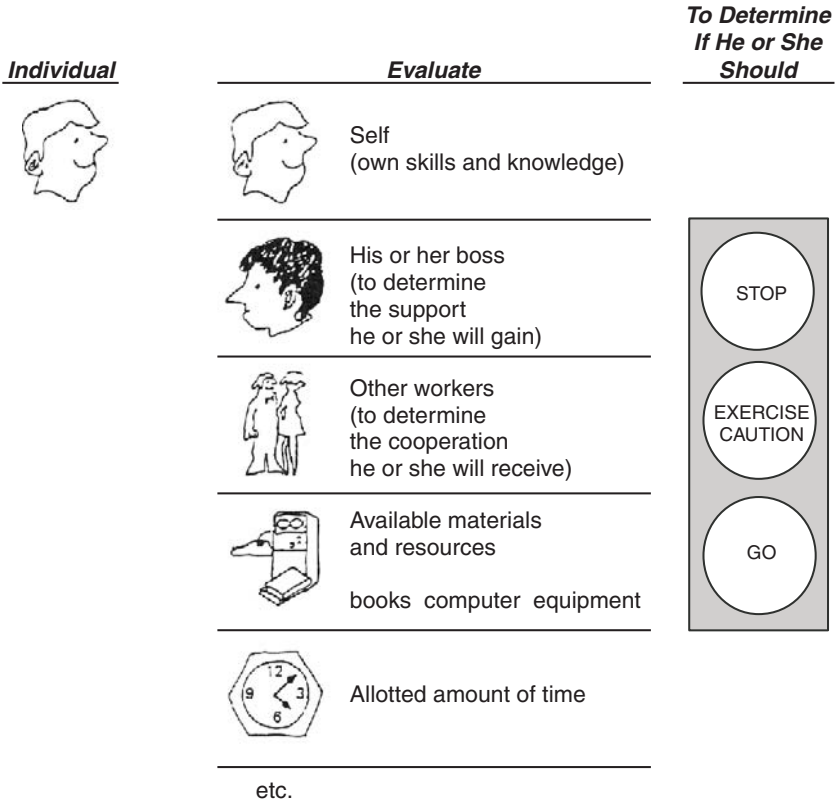
sufficient. To illustrate, a manager offered a group of workers a $1,000 bonus if they would load out fifty trucks in a ten-hour period. The group refused to try. Why? The members of the group believed it was impossible to do what was asked.

The final factor involves whether the person will actually receive the reward if the performance is successful. In effect, the person asks about the intent and sincerity of the agent offering the incentive. Is the employee's supervisor genuinely interested in having the worker achieve a successful performance so that the reward can be earned? Will the organization actually deliver the promised reward? In a recently overheard conversation, an obviously disgruntled employee said, "I don't see any point in killing myself to get that job out. Even if I do, I'll never see an extra dime in my pay-

check!" In effect, the employee believes the work can be done, would like the extra money, but won't do the work because there is the feeling that management will not deliver the reward.

Overall, these and other factors help the individual worker determine whether there is a reasonable chance to perform in a way that would make possible the earning of the reward promised by the incentive. How can we analyze Brent Templeton's situation based on the chapter's opening case? Brent values opportunities for increased responsibility and new job challenges. He'd like to move up with the company to better pay and a more stimulating job. So Phase 3 of our model looks fine. Brent values the reward. How about Phase 4? We can't be sure, of course, but Brent may believe that he could meet the demands of more responsible work even without a college degree. Brent believes that management won't give him the rewards, and the motivational process stops right there—at Phase 4. Based on expectancy theory, we would have to predict low future performance from Brent unless management does something to convince him that he has an opportunity to move up. Take the Personal Feedback test to learn some things about the motivational model and yourself.

If the value of the benefits offered by the incentive, the probability of successful performance, and the likelihood of a reward appear to be positive, the worker usually decides to expend the effort in order to achieve the promised rewards. Action on the part of the worker (Phase 5 of the model) is a voluntary step entered into with optimism and a sense of expectation. An action-result relationship is anticipated in which the adequate performance of the worker is expected to result in need fulfillment.

Quite often, theorists discussing the motivation process stop their analysis at the point in which action is taken by the worker. However, postaction events are extremely important if immediate satisfaction is to be gained by the worker and future receptivity to incentives is to be provided. Workers who perform as managers ask them to should receive the promised reward (Phase 6—Option A). When anticipated rewards are given, motives are potentially fulfilled, and the employee's confidence in future performance-reward situations is increased.

Adequate performance that does not receive the promised reward will result in skepticism about future rewards as well as immediate disappointment. This is where the distrust of management's motives noted earlier comes from. And it's very common. How often have you overheard someone say, "Around here, it's not what you know, but who you know"? If employees have come to that conclusion on the basis of their experience with management, what they're really saying is that they believe that there will be no relation between doing the work and getting the reward. Instead, it's all politics. Clearly, there's a message for all of us here: If you offer a reward, make sure you deliver.

PERSONAL FEEDBACK
What the Positive Motivational Model
Can Tell You About Yourself

One of your professors needs a student to spend some time (up to twenty hours) entering data into a computer. The professor asks you if you would be willing to do the work. The professor gives you the following information. You will need to attend a three-hour training program before you begin your entry work. You will be paid $6.25 an hour for up to twenty hours of work. If the work takes you more than twenty hours, you must finish on your own time. The work must be completed within the next two weeks. You will need to get a friend to help you. The friend will be responsible for coding the information gathered from questionnaires.

If you were using the positive motivational model to decide how to respond, Step 3 of the model would call for questions to determine if the rewards being offered are of value to you. You would answer questions such as:

If it takes me twenty hours to do the work, I will be paid $125. I will undergo three hours of training. That means I will earn approximately $5.34 an hour for my time. Is that amount of money worth the effort?	Yes _____ No _____
Would I earn less if I spent my time working somewhere else?	Yes _____ No _____
Will my friend receive the same amount of money for his or her time?	Yes _____ No _____
What if it takes me more than twenty hours to do the job, and I must work on my own time? Will it be worth it?	Yes _____ No _____
Will the experience look good on my resume?	Yes _____ No _____
Will I enjoy the experience of working with my friend?	Yes _____ No _____
Would I rather do this job than do something else with my time?	Yes _____ No _____

A *yes* answer to a majority of these questions is important if you are going to say yes to the job.

Then step 4 of the model would ask questions about whether you believe you can handle the job. You would ask questions such as:

Do I know enough about computer data entry to handle the job?	Yes _____ No _____
Can I learn enough in three hours to do the job?	Yes _____ No _____
Will the instruction be adequate (will the instructor be helpful)?	Yes _____ No _____
Can I do the job within the twenty hours allotted?	Yes _____ No _____
Do I have a friend who can be counted on to do a good job?	Yes _____ No _____
Will the professor give me help if I need it?	Yes _____ No _____
Do I have enough free time in the next two weeks to do the job?	Yes _____ No _____

A *yes* answer is needed to most if not all of these questions if you are to feel confident about your probability of success.

Now stop and consider what you have learned about yourself:

Would the money you earned be enough satisfaction if you got nothing else out of the project?	Yes _____ No _____
Would the experience be satisfaction enough?	Yes _____ No _____
Would a line on your resume be satisfaction enough?	Yes _____ No _____
Do you have confidence in your computer skills?	Yes _____ No _____
Do you have confidence in your ability to learn this task?	Yes _____ No _____
Do you have a friend you can trust to do his or her part?	Yes _____ No _____
Are you overscheduled for the next two weeks?	Yes _____ No _____

You can learn much about yourself by considering your answers to these questions. Take time to think about your values and your confidence in yourself and others.

If, on the other hand, the worker fails to perform adequately and does not earn the reward expected, the effects are less certain. Sometimes the worker who fails in performance becomes bitter and antagonistic toward external factors felt to have caused failure. The worker may lose self-confidence. In effect, what's happened in this case is that the employee doubts whether personal skills are good enough to do what is asked. If performance leads to failure, future use of the model may be in doubt. In most situations, the employee will view future motivation-incentive situations more critically, and the value and probability factors will need to be strongly positive before the employee will take action to attain the rewards (Phase 6—Option B).

In some situations, however, failure makes the worker even more determined to succeed. In these reactions, the worker reassesses the motives, incentives, values, and probability of success factors and puts forth additional effort to perform satisfactorily in order to gain the rewards sought (Phase 6—Option C). Through additional effort, the employee may achieve performance deserving the reward.

EQUITY THEORY

When performance is successful and rewards are received, motive fulfillment or satisfaction (Phase 8) does not always occur immediately. Instead, individuals move to Phase 7, which is the assessment of the equity of the rewards. In effect, we say, "I got the reward, but is it really what I want?" Perhaps you've heard someone say, "Sure, I got what I expected; it just wasn't worth it." This was what we were getting at when we said we looked at Phase 6—Option A

and said that when rewards are given, motives are potentially filled. If it wasn't worth it, the motive wasn't fulfilled, even if the reward was received. Tricky? Let's look into this a little further.

A major motivational concept known as equity theory concentrates primarily on the assessment of the fairness and appropriateness of rewards received. When thinking about equity, one can start with the idea of using a reference point as a means of comparison. The point of comparison is a reference person—someone in similar circumstances with inputs (effort, skill, experience, etc.) and outcomes (salary, wages, promotions, etc.) against whom one's inputs and outcomes can be compared. Equity would occur in this framework if the input/outcome ratio of the person observed was similar to that of the observer (see Figure 11.6).

If both employees worked forty hours and got about the same amount of pay, they would probably consider themselves equitably treated. In many situations, perfect equity doesn't exist. If the ratio is seen by the observer to be favorable to self, the stage would be set for satisfaction to occur (Phase 8). If the ratio is seen as unfavorable (i.e., the input is greater or the outcome is less than that of the other workers), dissatisfaction may result. With satisfaction, the employee is open to continual motivation. In fact, the employee may display motivation by working hard to prove worthiness for the heavy outcomes. If the employee is dissatisfied, it may become more difficult to be receptive to future incentives (Stage 9).

In addition to asking questions about input/outcome and reference persons, the worker may have questions about the cost/benefit ratio and the compatibility of the outcome received with the promised outcome (please refer to Figure 11.6). Satisfaction is likely only when outcome is perceived to be equal to

FIGURE 11.6. Equity Ratio and Questions

$$\text{Equity Ratio} \quad \frac{\text{Outcome self}}{\text{Input self}} = \frac{\text{Outcome other}}{\text{Input other}}$$

Questions of

Comparisons with others:
    Is my outcome >, <, or = the outcome of others?
    Is my input >, <, or = the input of others?

Comparison with personal criteria:
    Is my outcome >, <, or = my input (the cost/benefit question)?
    Is my outcome > or < the promised outcome (reward)?

or greater than personal input. Also, if outcome is less than what was promised, dissatisfaction will probably be the result.

What actions can management expect from the employee perceiving inequity? Obviously, the results won't be good! For one thing, the employee may quit and look for a more equitable situation. Another possibility is lowering production. In effect, the employee is saying, "If they won't give me what I'm worth, I won't produce!" If all equity questions have positive answers, however, there is evidence that both satisfaction and commitment might be increased. There is good evidence to show that feelings of equity/inequity may be related to such items as turnover, absenteeism, increased or decreased quantity of performance, and quality of performance.[4]

Let's return to the Brent Templeton case. What insights can equity theory give us into Brent's actions? Obviously, part of the problem is with inputs. Brent knows he's missing a vital input—the college degree—to permit his advancement. Our guess is that he's in an equity situation when he looks at other drafters—after all, he's at the top level and believes that the company's treatment is fair. A situation like this calls for the status quo which is exactly what we see from Brent: such things as not rocking the boat and "doing my job." But will this state of affairs produce real motivation? Obviously not in Brent's case.

HOW DOES THE SUPERVISOR FIT IN?

Most employees will need help in utilizing the motivational process. In each situation, the employee's immediate supervisor will usually be the person to identify current needs, select incentives to be offered to attract interest in performance, and deal with the preaction questions of value and probable success. The immediate supervisor is responsible for seeing that promised rewards are conveyed when they are earned. The manager may need to provide information to the employee so that the employee can make good judgments about equity. Satisfaction should be communicated in some way, and dissatisfaction should be transformed into the desire to do better in the future. In the Brent Templeton case, for example, it's possible that an insightful supervisor could spot Brent's feelings and help by exploring options with Brent. Maybe there's some way to help Brent get the education he needs, for example.

A NEGATIVE MOTIVATIONAL MODEL

The motivational model that we've discussed is primarily based on positive motives and constructive rewards. The implication of the model is that people want improvement over existing conditions (fulfillment of existing needs) and are willing to direct their efforts and actions toward organiza-

tionally useful behavior if they believe that doing so will help fulfill existing needs. There are times, however, when managers use motivational techniques that are negatively based as opposed to positively oriented. The use of negative motivation, therefore, deserves investigation.

The cognitive-needs negative motivational process is primarily the inducement of the desired behavior or performance from an employee through the use of fear. The fundamental assumption behind the negative motivational process is that people are protective by nature—they wish to preserve and protect what they already have and maintain the status quo in terms of their existing possessions and previous achievements. Thus, the worker's basic motives include the protection and preservation of previous attainments so that already fulfilled needs are not jeopardized by future action (see Figure 11.7). It's worthwhile to speculate about Brent Templeton in our introductory case, for example. Isn't fear of getting in trouble or losing his job a factor that keeps Brent doing his work? The effect of this protectiveness is to maintain and hold securely rather than to enrich and fulfill.

FIGURE 11.7. Model of Negative Motivation
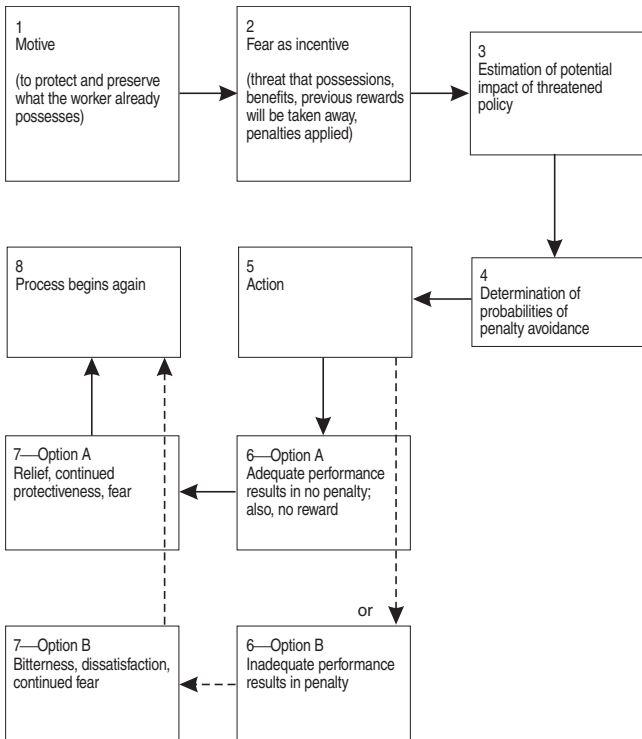
Under negative motivation (Phase 2) the "motives" are threats to reduce or restrict existing levels of attainment and satisfaction. If a worker is presently earning a good wage and achieving personal goal satisfaction, the negative approach threatens to reduce the worker's income level if the worker does not achieve or maintain a certain performance level. If the worker presently enjoys respect and admiration, the negative motivational approach may threaten to destroy or reduce reputation if the worker does not adhere to a certain performance. Other motive-need categories may be threatened in a similar manner. In cases where an employee has alcohol or drug problems, fear may be the only motive that will get the employee's attention. The threatened penalties are analyzed in terms of the potential discomfort and pain they will cause (Phase 3). The more punishment and suffering that is anticipated, the more urgent the desire to avoid the threatened penalty. The penalty must be avoidable, however, if the individual is to be enticed into an attempt to escape its predicted effects. As a result, the worker must be convinced that enough ability is possessed to perform successfully to avoid the penalty, and that confidence in the support to be received from superiors, peers, and subordinates (Phase 4) is adequate.

Under negative motivation, workers take action (Phase 5) with the specific purpose of performing adequately to avoid receiving the penalty that threatens the worker's goal of keeping secure that which has already been possessed. The action usually takes place with apprehension and resentment. If the individual's performance meets the standard imposed upon the individual, the penalty is avoided (Phase 6—Option A). If performance falls below the behavior expected, the penalty occurs (Phase 6—Option B) and the worker loses something valued (wages, prestige, security, the opportunity for achievement or advancement, etc.).

The effect of penalty avoidance (Phase 7—Option A) is temporary relief but there is a continued protectiveness and a fear that the threat of penalty will become a reality sometime in the future. The results of receiving a penalty (Phase 7—Option B) may include disappointment, bitterness, dissatisfaction, and continued fear. Psychologists have stated that if the negative motivational approach is to be successful in the long run, penalties and threats of penalties must be constantly present to reinforce the fear. For example, we've all seen cases where workers go right back to their "old ways" as soon as the boss leaves. The worker also must feel a dependency on the organization so that escape from the threat by leaving (or sabotaging) the organization is not easy.

THE ROLE OF THE BOSS

The role of the manager-supervisor in the negative motivational process once again begins with the discovery of the worker's motives. From the neg-

ative viewpoint, these motives are achievements, values, or possessions the worker is seeking to protect and preserve. The supervisor suggests the possible penalty (applies the incentive) and outlines the specific performance that is expected if the penalty is to be avoided. The boss who wishes to impress the individual with the seriousness of the penalty may emphasize the potential effects of the penalty upon the factors the worker is attempting to maintain. The supervisor also helps the worker to realize that penalties can be avoided through acceptable performance. After the worker takes action, the supervisor is a primary participant in the evaluation of the worker's performance. Actions must be judged to determine whether they meet or fall below expectations. Penalties are meted out or withheld depending upon the assessment of the performance. For maximum effectiveness, necessary penalties are applied rather rigidly as threatened. It does no good to threaten and then not carry out the threats; the process then begins again.

The negative motivational approach has been the center of great controversy. Traditionalists have taken the position that the "stick" approach is essential with some individuals in specific situations. Behavioralists have often called the approach old-fashioned, brutal, and unnecessary. There is no question that positive motivation is infinitely more desirable, more pleasant, and usually more effective. It is possible, however, that when the positive approach has been tried and has not worked, conditions may call for the use of negative motivational techniques. From a realistic point of view, the negative approach should be utilized only temporarily with the goal of shifting to the positive approach as a central factor in future planning. Because it has such harmful potential, negative motivation is a last resort. It should be used only after all positive approaches have been explored.

GOAL SETTING
AS A MOTIVATIONAL CONCEPT

An additional approach to motivation—known as goal setting—is compatible with positive motivation in that it begins by defining what each employee is expected to do. This expectation is then communicated to each individual employee. If contributing factors are managed properly, the process of conveying performance expectations is enough to cause an employee to work hard to achieve the standard expected.

According to the goal-setting concept of motivation, the following holds true:

1. A goal (standard) is whatever an individual is consciously trying to do.
2. Goals that have greater difficulty will stimulate the individual to higher levels of performance than will more easily attained goals.

3. Goals that are specifically stated and difficult to achieve will result in higher performance than if no goals are assigned or a generalized challenge to "do your best" is issued.
4. Goals assigned to a person by a supervisor will affect the individual's behavior only to the degree that the goals (standards) are consciously accepted by the performer.[5]

If goal setting is a valid concept, the importance of establishing individual goals for workers is vital for optimum performance in organizations. Although Locke, who first researched the concept, had evidence to support his theory, a large amount of research has been done to test various aspects of the theory since it was first presented. Answers have been sought to the following questions:

1. Does establishing and communicating individual performance goals really act to increase the level of individual output?
2. Do goals that are difficult to attain spur performance that is superior to more easily attainable goals or to generalized "do your best" statements?
3. For a goal to influence an employee's behavior, is it essential that the employee accept the responsibility for working to accomplish the goal?
4. Does allowing an employee to participate in setting goals enhance the influence of the goal on the employee's behavior?

Providing specific performance goals to individuals seemingly does have positive results in a majority of cases. In a 1981 position paper, Locke stated that "goal setting is the only current approach to work motivation that claims a beneficial effect on performance in 90 percent of the reported cases."[6] Latham and Yukl state that ten out of eleven studies they analyzed gave support to the effectiveness of goal setting.[7] The general conclusion seems to be that in more cases than not, the setting of goals and communicating of them to the performer really do result in higher levels of performance.

Goals that are specifically stated and have a reasonable level of difficulty are, indeed, more likely to result in higher levels of performance than generalized goals such as "do your best." Latham and Yukl observe that in six out of seven studies concerning goal difficulty and performance, hard goals definitely led to higher performance than easier goals and generalized ones.[8] This finding is particularly important when one considers what goes on in many organizations. Often, managers do almost the opposite of what is needed. Instead of clearly stating exactly what is expected, managers often give very general guidelines or maybe none at all. Think about organizations you are familiar with—how often does the employee really receive a

full description of what is wanted? Notice how, when the worker is told what is expected, the worker's confidence and self-direction are enhanced. Many managers are missing a vital tool here.

An important overall point coming out of the Latham and Yukl research, however, is that the goals need to be accepted if they are to affect performance. The relationship between acceptance and performance is not always clear. Sometimes the acceptance is expressed; sometimes it is only implied. An employee is more likely to accept performance goals (standards) under the following conditions:

1. The employee feels the goal is reasonable.
2. The employee has a degree of self-confidence.
3. The employee has been successful in accomplishing previous performance goals.
4. An adequate, desirable reward is provided for accomplishing goals.
5. An objective performance appraisal will follow the performance effort.[9]

As you review the above conditions for gaining acceptance of goals, notice that they provide guidelines for supervisory behavior. It is important that goals be reasonable, the employee feels capable, the incentive structure is in place, and constructive performance appraisals occur.

The question of whether or not the employee must participate in the setting of goals for his or her performance to be affected is less certain. Chang and Lorenzi found that "participative and assigned goal setting have no significantly different effects on performance if goal difficulty is held constant."[10] Further, they say that "participation in goal setting has been shown to affect performance only if it leads the subject to a higher goal than that which is assigned by the supervisor or experimenter unilaterally."[11] Again, goal difficulty is the more important factor. Once a high goal is established, the high goal leads to high performance regardless of who established it.

Steers found that people low in need for achievement must participate in goal setting for goal setting to influence their performance.[12] In addition, Schuler and Kim noted that participation in goal setting can increase workers' satisfaction levels with performance.[13] Participation could also enhance the feeling of autonomy. Umstot and colleagues found that goal setting with an existing job may need participation, but participation on new jobs was less necessary for goal setting to be effective.[14]

Obviously, the findings on participation are not clear-cut. Generally, we conclude that participation in goal setting may be needed in certain conditions (for example, when employees are low in need for achievement), but in many cases, goals may be set for the employee and be just as successful. As a general statement, it is clear that performance goals are important standards, but goals are equally important in stimulating performance. Effective

goals are those that are reasonable, clearly stated and communicated, and defined with some degree of difficulty. Employee participation may sometimes enhance performance and will frequently result in a high level of satisfaction.

THE MOTIVATIONAL POTENTIAL OF JOBS

In using both positive and negative models of motivation, it is important to note that some jobs have high levels of motivational potential, while other positions may have limited motivational potential. Some jobs are simply more motivating than others. Jobs with high potential are those with many components that make possible high levels of need fulfillment. Low-potential jobs have little to attract an employee's attention and will result in little stimulation. In the Brent Templeton case, what do Brent's comments about the work he's doing have to do with his motivation? How would you rate his job in terms of potential for motivation?

Perhaps one of the most useful techniques for diagnosing the motivational potential level of a job is the Hackman-Oldham model of analysis. The model assumes that three critical psychological states influence the motivational potential of a job—the meaningfulness of the work, the responsibility for the outcomes of work, and the knowledge of actual results of work activities (often called feedback). Jobs that provide much of all three states are called high-potential jobs, while jobs with little in any area are said to have low potential.[15]

Three factors are involved in diagnosing the meaningfulness of a job:

1. *Skill variety*—The degree to which a job requires a variety of activities involving many different skills and talents. High-level jobs, such as managerial ones, tend to have much variety, as do some nonmanagement jobs, such as hotel desk clerk in a small hotel, for example.
2. *Task identity*—The degree to which a job requires a complete, "whole and identifiable piece of work," that is, doing a job from beginning to end with a visible outcome. Wide differences exist here. The autoworker in a traditional Detroit auto plant who does one limited activity (e.g., attaching a window frame) over and over is low in this factor, for example, while a craftsperson making pottery probably does the whole job from start to finish.
3. *Task significance*—The degree to which the job has a substantial impact on the lives of other people, whether these people are in the immediate organization or in the world at large. Doctors and other professionals, such as counselors, immediately come to mind. An office manager or similar employee who is literally keeping an important part of an organization running may feel equally vital to the organization.

The second psychological state influencing a job's motivational potential—responsibility for work outcome—is measured by the amount of autonomy that is present. Autonomy can be defined as "the degree to which the job provides substantial freedom, independence, and discretion to the individual in scheduling the work and in determining the procedures to be used in carrying it out.[16] The key is whether you work on your own or whether you feel you are continually monitored and must check every step.

The final area—knowledge of work results—is calculated by considering feedback received from doing a job. Job feedback is "the degree to which carrying out the work activities required by the job provides the individual with direct and clear information about the effectiveness of his or her performance."[17] A person can learn how good his or her personal performance is coming along from the job itself (e.g., counts of how much the person has produced) or by asking others, such as a supervisor.

The job rating form developed by Hackman and Oldham provides the mechanism for analyzing a job on the basis of its skill variety, task identity, task significance, autonomy, and job feedback. By answering three questions on each factor and calculating the average scores of the items, a numerical score is established for each factor. On a scale of 1 to 7, a job with an average of 1 would have very little potential for fulfilling that factor, while a score of 7 would indicate high motivating potential in that area (see Figure 11.8). The motivating potential score (MPS) for a specific job can be calculated by using the following formula:

$$MPS = \left[\frac{Skill\ Variety\ +\ Task\ Identity\ +\ Task\ Significance}{3} \right] \times Autonomy \times Job\ Feedback$$

The range of scores possible when using the Hackman-Oldham formula is from 1 (very low potential) to 343 (very high potential). In addition to acquiring a total score for motivational potential, it is possible to diagnose the causes of a job's motivational strengths or weaknesses by plotting the individual components on a diagnostic graph (see Figure 11.9). Job A in the figure, while showing a total score of over 270, indicates that all factors of the job are highly motivational. Job B, with a total score of about 30, shows high motivation from a task significance perspective but average to low amounts of autonomy and job feedback. Attempts to make Job B more motivational should be focused on the areas of weakness. By redesigning (when possible) those jobs with low motivational potential by including more autonomy, for example, the motivational potential can be increased.

You may want to look back at the opening case and speculate on how Templeton would answer questions like those on the Hackman-Oldham job rating form.

FIGURE 11.8. Sample Questions from the Hackman-Oldham Job Rating Form

Determining the task identity level of Job C:

1-3 To what extent does the job involve doing a whole and identifiable piece of work? That is, is the job a complete piece of work that has an obvious beginning and end? Or is it only a small part of the overall piece of work which is finished by other people or by automatic machines?

1	2	3	4	5	6	7
The job is only a tiny part of the overall piece work.			The job is a moderate-sized "chunk" of the overall piece of work.			The job involves doing the whole piece of work from start to finish.

How accurate are the following statements in describing the job you are rating?

1	2	3	4	5	6	7
very inaccurate	mostly inaccurate	slightly inaccurate	uncertain	slightly accurate	mostly accurate	very accurate

2-11 The job provides a person with the chance to finish completely any work he or she starts.

2-3 The job is arranged so that a person does not have the chance to do any entire piece of work from beginning to end.

Suppose that you answered Question 1-3 with a 4, Question 2-11 with a 3, and Question 2-3 with a 5. To calculate the task identity of Job C, average the items:

1- 3 4

2-11 3

2- 3 3 (reverse scoring by subtracting 5 from 8)

10 divided by 3 to get the average score of 3.33.

This is the task identity potential of Job C. This factor would be added to the formula

$$\left(\frac{\text{Skill Variety} + \text{Task Identity} + \text{Task Significance}}{3} \right) \times \text{Autonomy} \times \text{Job Feedback}$$

to get the total Motivating Potential Score

Source: Hackman/Oldham, *Work Redesign* (adapted from pages 78, 79, 81, 90), 1980 by Addison-Wesley Publishing Co., Inc. Reprinted with permission of Addison Wesley Longman.

FIGURE 11.9. Job Diagnostic Profile for a "Good" Job and a "Bad" Job
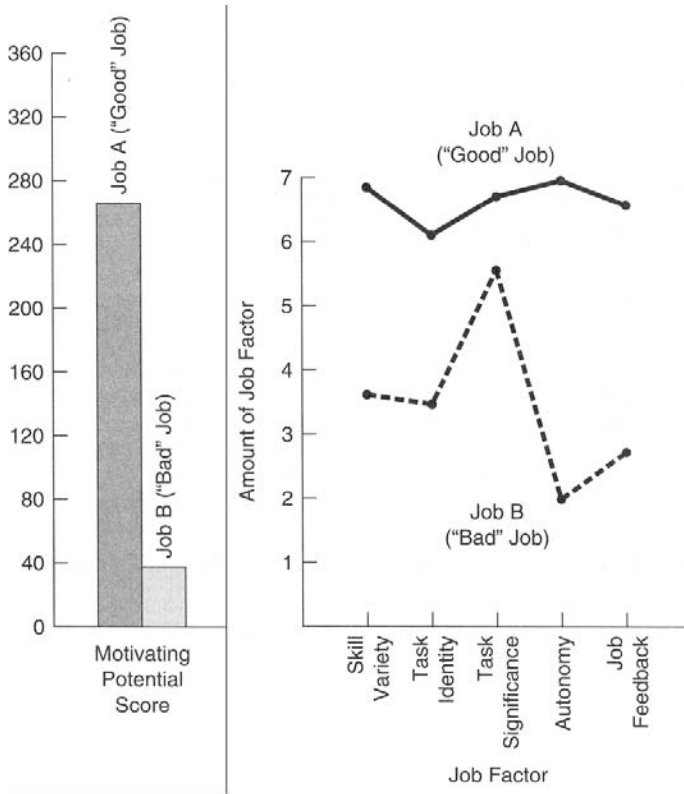
SUMMARY

Motivation has been defined as the process of arousing action by individuals and sustaining the activity until a project has been completed. Many different methods exist for motivating people.

One of the most frequently used methods is known as expectancy motivation. With the expectancy concept, the opportunity to satisfy unfilled needs is offered to the individual employee. The employee must make many decisions before electing to accept or reject the opportunity to try for need fulfillment. If the individual decides to try, the opportunity is accepted, and work begins to perform a task to earn rewards. The actions determine whether rewards will or will not be given. Other decisions need to be made before satisfaction or dissatisfaction occurs.

Negative motivation is the opposite of expectancy theory in many ways. The individual worker is threatened with the loss of something important unless the work is hard enough to avoid the penalty. Effective work performance may be successful in avoiding punishment and protecting possessions. Negative motivation leaves a certain amount of fear and bitterness no matter what happens.

The equity concept of motivation is compatible with expectancy theory in that people who consider themselves to have been rewarded fairly will respond favorably to rewards, while those who feel treated inequitably usually will behave in undesirable ways.

The simple task of setting and communicating challenging goals to workers usually results in raised levels of motivation. Another view of motivation calls for the designing or redesigning of one's job to make it more meaningful. Five job components have been identified in a model developed by Hackman and Oldham which, when provided for, will raise the motivational potential of a job.

Bosses play important roles in clarifying opportunities, setting challenging goals, selecting appropriate incentives, supporting workers through times of uncertainty, providing promised rewards, and being equitable in the entire motivational process. Some jobs, as a result of their strong motivational potential, will be highly attractive. Other jobs may have low motivational potential unless redesigned.

QUESTIONS TO CONSIDER

1. When a manager attempts to motivate a worker so that the worker will be more productive, is the manager manipulating the worker to do something the worker does not want to do?
2. Is it true that a satisfied worker often is not a productive worker? Why or why not?
3. This chapter stated that motives are within individuals. Can managers have an effect upon the development of these motives?
4. How can a manager who wishes to apply the positive motivational model discover the need motives of workers?
5. Discuss in detail the role of a manager in helping a worker determine the value of an incentive. Discuss a manager's role in helping an employee determine the possibility of successful performance in order to earn a reward.
6. If a worker fails to perform successfully and therefore does not earn a reward, what can the manager do to help the worker decide to try again rather than to withdraw?
7. What problems and complications do you see with the use of the negative motivational model?

8. When negative motivation is utilized, a certain amount of fear and bitterness often remains after penalties have been applied or avoided. What can be done, if anything, about the bad effects that may be present?

9. Is negative motivation an ethical managerial practice? Why or why not?

10. What problems do you see with the use of the Hackman-Oldham Motivating Potential Score and its application to typical jobs? Why might it sometimes be difficult to use?

CHAPTER CASE:
THE CASE OF THE "HUNGRY" ACTRESS

After finishing school, you set out to look for a job and are determined to get something really different, something with a challenge. Of course, that's what everybody wants, but in your case, it turns out to be exactly what you got. The only problem is that now you're wondering if a really challenging and different job is all that great: You had just happened to see an ad in the paper for positions in a newly forming company, and you called to see what it was about. The organization (if you can actually call anything that disorganized an organization) is Talent Unlimited, and its founders describe it to you as "the world's first talent management organization run entirely by the talent themselves."

Talent, in this case, refers to theater-related talent—actors, actresses, directors, bit players, and the like. You learn that with the recent emphasis on the culture of your area, there is a steady stream of films being made where you live, and gradually a nucleus of performers, even beyond the local talent, has settled here. That group has started Talent Unlimited. You ask what job is open, since they've already told you that they run everything themselves. "Well, it's not exactly management," says Lola LaRue (you suspect that's her stage name; in any case, she is more or less taking on the role of spokesperson for the group). "You see, we want an administrator," she continues. "We want to make all of the major decisions, but nobody wants to be concerned with the day-to-day running of things. In fact, I'm afraid things are in a bit of a mess."

You are hired on the spot. In fact, the group is amazed when they learn you have a business degree.

"You mean you can do numbers and all that?" asks Lola, eyes open wide. You quickly learn what "a bit of a mess" really means. Not only are the books in chaos, the schedule a disaster, and plans nonexistent, but there's considerable dissension in the organization. There appear to be two main factions. At the very top, acting as a sort of "kitchen cabinet" making decisions, are five or six performers who have really made it. They're living the lifestyle of the rich and famous and are interested in using the organization as an easy way to advance their careers without running into heavy agents'

fees. Lola is typical of this group, and one day you run into her having a discussion with Marla Mallory, who's decidedly in the other camp.

The other camp consists of the vast majority of members—hopefuls who haven't yet had a break. Like most, Marla lives a hand-to-mouth existence, supplementing her meager theatrical earnings by hourly work as a cashier in a local supermarket. Most of this group—with Marla among them—are pretty discouraged; they see Talent Unlimited as a last hope that maybe by banding together they can get some work. Marla is telling Lola that she wants Talent Unlimited to try to get some bit parts for her in a Broadway road show that is coming to town soon.

"Now, really, you must stop being so childish," exclaims Lola. "All you people do is think of yourselves. Look at me. I've devoted my *life* to this profession, and I'm literally *starving* to death. Why, I've just learned that upstart Kitty Kelly is getting $750,000 for a five-minute cameo slot, while I get only $425,000 for a similar one. Those are the *real* problems Talent Unlimited is going to have to deal with."

Case Questions

1. Which steps of the positively based cognitive-needs concept are shown in this case so far as Lola is concerned? What does this case reveal about expectancy theory?
2. How would the director of a play or movie motivate Lola? What incentives could be used?
3. What does this case illustrate that is in keeping with equity theory? Lola says she is "starving to death." Has she lost her mind? Explain according to equity theory.
4. Marla is currently working as a cashier in a grocery store. Suppose her boss decides she needs to become more motivated and wants to redesign her job. Briefly discuss Hackman and Oldham's theory and apply it to Marla's situation.

GLOSSARY

cognitive motivation: The view that people are stimulated to action because individuals make rational choices based on the incentive opportunities they will respond to. Cognitive motivation is needs oriented, looking to future fulfillment.

equity theory: A concept of motivation in which each performer evaluates rewards received against the rewards received by other employees as well as against inputs required to earn the rewards. Outcomes (rewards) equal to inputs are considered against the outcomes and inputs of others. Where out-

comes and inputs differ from those of reference persons, results will be perceived as inequitable.

expectancy theory: The model of motivation that operates on the premise that people do the things they do because they believe their actions will result in future rewards to fulfill their important needs. People "expect" their efforts to result in good things they will earn.

incentive: The reward offered to a worker to stimulate the worker to act.

Motivating Potential Score: A number arrived at by using the Hackman-Oldham test of job design that reveals the degree of skill variety, task identity, task significance, autonomy, and feedback of a specific job. The larger the number of these characteristics of a job, the greater the motivating potential score.

motive: An inner state that energizes, activates, moves, directs, or channels behavior toward goals.

negative motivational process: A view of the way to stimulate people to action where fear is used as the incentive. Employees are threatened with punitive action if they do not perform successfully. If performance is successful, the penalty is avoided. If performance is not successful, the penalty is applied.

positive motivational model: A view of the way to stimulate people to action that is very similar to expectancy theory. Behavior results from the perception that incentives offered are worthwhile and attainable. Satisfaction occurs after rewards are received and evaluated favorably.

Chapter 12

The Reinforcement View
of Motivation

OBJECTIVES

- To compare reinforcement theory to cognitive-needs theory to discern their compatibility
- To study the Law of Effect in order to use it when working with others
- To discover the circumstances required for conditioning or reinforcement to work
- To become acquainted with the four reinforcement techniques so that the appropriate technique can be chosen for the appropriate situation
- To learn other rules for effective conditioning
- To consider the four different schedules for reinforcing behavior
- To develop a positive philosophy for disciplinary action
- To develop skill in providing fair disciplining
- To learn how to provide constructive criticism when the behavior of others requires it

A CASE TO CONSIDER:
MARINELL CLAYTON—
THE FULL-TIME NURSE WHO SELDOM IS

Patrick Osborne is the owner-manager of Rest Manor Nursing Home, a facility for elderly or infirm patients who require constant care, including medical treatment. The home is located in a community of about 5,000 residents and is somewhat isolated from major cities and population centers. The town has, in addition to Rest Manor, a full-service hospital, a small medical clinic, and several doctors' offices that require staffing by nurses. As a result, trained nurses are in heavy demand in the small community. It is especially difficult to hire and keep good registered nurses.

Rest Manor is small by most nursing home standards; it contains twenty-eight beds, which remain filled constantly. Osborne indicates that he

has a waiting list of applicants wishing to enter the facility whenever a vacancy occurs. One of the state laws regulating nursing homes requires the presence of a qualified registered nurse at all times. Practical nurses, orderlies, and other assistants may be used for treatment, service, and other care purposes, but an RN must be present constantly and in charge of nursing care.

Osborne has been able to hire three registered nurses, each of whom works an eight-hour shift five days a week. On weekends, two nurses from a local doctor's office and a semiretired nurse fill in while the regular nurses have their time off. This arrangement has been the best one Osborne has been able to organize because of the shortage of registered nurses. He has unsuccessfully tried to attract nurses from other communities to come in to work. Seemingly, there are no other qualified nurses locally who are willing to work at the nursing home.

This arrangement might be reasonably satisfactory except that one of the regular registered nurses, Marinell Clayton, is creating a problem. Clayton works the 3 to 11 p.m. shift Monday through Friday. She is in her late forties, is married, and has three grown children. Her husband is self-employed as a clock and watch repairman.

Clayton is an excellent nurse when she is present and working. She is extremely considerate of the patients; they all respond to her favorably and with admiration. The workers Clayton supervises indicate that she treats them fairly and helps them whenever they need it. The problem is that Clayton has a habit of taking a day or two off from work almost every other week to accompany her husband on a trip he is taking.

Because Clayton's husband is self-employed, he sets his own workdays and hours. He is an avid sportsman and takes off a few days regularly to hunt, fish, or travel some distance to see a special sporting event. Clayton could seldom go with him while their children were at home, but now that the children are grown, her husband wants her to go with him whenever possible. Because Clayton shares her husband's interests, she usually goes with him. This practice requires her frequently to stay away from work on a Friday (or sometimes a Monday) so that she can be away for a long weekend.

Clayton doesn't ask for a day off before she leaves. She just tells Osborne she won't be in the next day because her husband wants her to go with him. She never asks to be paid for the days she is away; money is not important to her. She and her husband have an adequate income and enjoy themselves. In addition, she feels that her job is secure because Osborne can't find anyone to replace her and because he wouldn't fire her under any circumstances. She also believes that the other nurses can fill in adequately for her when she's out of town. She has stated frankly that if she can't go places with her husband when he asks her, she'd give up her job to make it possible.

Clayton's absences upset the work schedules and attention given to the patients. One of the other registered nurses must fill in extra hours in Clayton's

place, or the shift goes along without a registered nurse. The operating license of the nursing home is in jeopardy because of her actions.

Case Questions

1. What alternatives does Osborne have?
2. In what ways can the positive and negative motivational models from Chapter 11 be applied to this case?
3. From a behavioral reinforcement approach, what parts of Clayton's behavior need to be discontinued? How are employees encouraged to keep doing what they are doing? How can they be encouraged to stop undesirable behavior?
4. In the past, Osborne has been very flexible concerning absenteeism and tardiness among workers. He gives each worker a two-week annual paid vacation and one week of paid sick leave. What rules and regulations are needed to cover absenteeism and tardiness at Rest Manor?
5. If an organization has rules and regulations concerning absenteeism or other types of worker behavior, can the rules and regulations be ignored in special cases?
6. Role-play the conversation that might occur between Osborne and Clayton about this problem.

* * *

In Chapter 11, people were assumed to know what they wanted, and they rationally made choices to respond to certain stimuli (incentives) to fulfill their needs. In this chapter, let's assume that employees either are not really aware of their motives or don't need to be aware of them. Instead, the rewards and reinforcements they receive after doing something serve to motivate them. The reinforcement approach to motivation, while not altogether in opposition to the cognitive approach, begins with a different concern.

The first responsibility of management from the reinforcement perspective is to discover the behavior needed by the organization to accomplish organizational goals. When organizational goals and the related essential behavior are known, everything necessary to achieve goals can be put in place and employees perform to achieve the goals. When employees perform in ways consistent with the organization's needs, their behavior is given positive reinforcement. When individuals behave in ways counter to organizational needs, their behavior is discouraged through the use of other types of reinforcement.

Conditioning or reinforcement has its foundation in the Law of Effect, which E. L. Thorndike proposed back in 1911. The law says that behaviors that appear to lead to positive consequences tend to be repeated, while behaviors that appear to lead to negative consequences will not be repeated.[1] The

pleasure-pain principle is the idea at work here. Contrary to what the cognitive approach suggested about working toward future fulfillments, the orientation of the reinforcement view is toward the past. Future efforts are a response to results from the past. Those things given attention will be repeated. This is why some people refer to reinforcement as a learning process rather than a motivational technique.

The sequence of events for reinforcement runs in this manner: stimulus→ response→consequence or reinforcement. A continuing cycle then begins. The consequences lead to future behavior, which in turn leads to new consequences, and so the pattern goes. Reinforcers or consequences are usually described in two categories: *primary,* which includes food, water, and other items for basic survival; and *secondary,* things we learn to want because they offer fulfillment of the primary needs—such things as promotions, praise, recognition, and money, among other things.

MANAGING REINFORCEMENT

The manager who wishes to influence the behavior of employees and provide motivation for them must be able to influence and control the consequences of behavior. In other words, when an employee does "the right thing," the manager needs to be able to provide desirable consequences to follow the effort.

There are four methods of reinforcement. Two are used to continue or increase desirable behavior: positive and negative reinforcement. Positive reinforcement uses rewards to follow good performance so that good behavior continues. Negative reinforcement, sometimes called avoidance, begins with the threat of something bad happening (such as the loss of something important to the performer). The employee who performs in an acceptable manner avoids unpleasant consequences. Both of these patterns encourage good behavior to continue. Past behavior has provided desirable consequences.

We see the operation of positive and negative reinforcement around us all the time. Let's first look at an example of positive reinforcement. Suppose a friend tells you that she hasn't kept up with her class reading assignments as well as she should, and she's intending to stay up all night and cram just before the exam. You act uncertain that the plan will work, and your friend responds, "Well, it's worked for me in the past!" In effect, what your friend is saying is that because she believes that this set of behaviors (staying up all night studying) has met with positive consequences in the past, she's doing it again. By staying up all night, she hopes to avoid a negative consequence—such as getting a bad grade. If she does well, she will receive something good and avoid something bad. In the same way, employees tend to keep up behaviors that are rewarded by the manager, other employees, or

customers. Think of the kinds of rewards that are available—praise, pay raises (or maybe tips from customers), and even a friendly smile of approval.

As an illustration of negative reinforcement, consider a football coach in the National Football League. Typically, if a coach has more than one losing season in a row, he is fired from his job. (Actually, a coach sometimes is released from his job following one losing season.) Let's assume for the moment that you are a coach in the NFL who has just experienced a losing season. Before and during the next year, you will do everything within your power to ensure that your team has a winning season. Let's suppose that you accomplish your goal and have a winning season. As a result, you avoid being fired. This is exactly what happens with negative reinforcement. Performance occurs at a satisfactory level, and a bad consequence is avoided. This is why negative reinforcement is frequently called avoidance behavior.

Positive reinforcement is a pleasant experience, while negative reinforcement causes fear and often results in a feeling of bitterness. Since negative reinforcement can be pretty problematical in its application, it's no wonder that both William Whyte and B. F. Skinner argue that positive reinforcers are the most effective ways to influence the behavior of others.[2]

The other two methods of reinforcement are used to stop undesirable behavior: extinction and punishment. With extinction, reinforcements are withheld following an undesirable behavior. As a result, the behavior that does not receive reinforcement (is ignored or is not rewarded), may cease. If, for example, an individual demands a large amount of his or her boss's time but the boss goes ahead without paying attention to the demands (and therefore does not reinforce the demands), the demands for excessive attention very likely will stop. Extinction not only causes bad behavior to cease but also sometimes causes good behavior to die as a result of lack of attention. The manager who says, "I know that Glenda's performance is improving, but I think I'll wait to see that the improvement is permanent before I commend her," unwittingly is risking using extinction. If several weeks pass and the boss ignores the improvement, the improved performance may stop.

The other technique for stopping undesirable behavior—punishment—works by following poor performance with unpleasant consequences. Criticism, being shunned by others, loss of pay, demotion, and removal from membership in a prestigious group are examples of punishment. To break the unpleasant cycle, an individual ceases the behavior that results in the negative consequence. Punishment has drawbacks, however. It is usually effective in stopping behavior, but it may be accompanied by undesirable side effects, such as anger or resentment by an employee. You may recall situations in which you received a punishment, such as strong criticism. You may have stopped doing whatever it was that caused the criticism, but you may have become angry and resentful as well. In fact, you may have been

tempted to do something to "get even" with the person who was critical. Obviously, this same kind of problem can occur when managers use strong criticism to stop certain employee behaviors.

Putting It All Together

We see the effects of positive and negative reinforcement, extinction, and punishment around us every day. Sometimes the techniques are under careful control by management. More often, they're not. To see some of the difficulties, let's analyze the Clayton case from the beginning of the chapter. From Osborne's standpoint, there's definitely an undesirable behavior going on. Clayton is missing a lot of work. But let's look at the situation from Clayton's perspective. Why does she miss so much work? Because she's being rewarded for staying away. She gets a hefty dose of positive reinforcement in the form of weekends with her husband fishing, hunting, and traveling—all activities she enjoys. Because her staying-away behavior is rewarded, we should expect it to continue. There's a moral here, and it's one we've hinted at before: Reinforcement works as expected only when the manager is in control of the rewards and punishment—and poor Patrick Osborne isn't. He isn't in control of a key source of reward, from Clayton's standpoint—those out-of-town trips. It's true that he has some power to punish, but how effective will the punishment be? Since Clayton says she would quit rather than lose her weekends off, we can guess that threats of being fired won't be very effective. Osborne could scold and criticize Clayton, but we've already seen that criticism can backfire—Clayton might react as one would in a negative reinforcement situation and avoid coming to work even more. Osborne is in a bind from which he's unlikely to escape. The moral is this: As a manager, you must find ways to gain control of the important sources of reinforcement influencing employees.

Guidelines for the Use of Reinforcers

If you plan to use reinforcement, you must be able to control the consequences of your employees' behavior; that is, you must be able to provide positive and negative reinforcers to a worker's actions. Three guidelines that managers should follow to effectively control the consequences of an employee's behavior include:

1. To maintain the worker responsiveness while the desired behavior is established and strengthened, managers should select reinforcers that are sufficient, powerful, and desirable. Money is often used as the reinforcer but other things can be used as well. It is important to note here that the strength of the reward or reinforcement should be in keeping with the strength of the performance that has earned the re-

ward (or penalty). This is where Osborne runs into trouble in the Marinell Clayton case. What this principle suggests is that Osborne needs to find a reward for being-on-the job behavior that is stronger than the reward (the pleasure of the weekend vacation) that Clayton now gets from missing work. Clearly, that can be difficult to do in cases like Clayton's.

2. Make the reinforcer contingent. The idea of contingencies means that reinforcement is made to depend upon the desired behavior. It should be clear what an individual must do and what the consequences will be following the performance. Then follow-through is important. Among other things, this means that the reward isn't given unless the employee performs the behavior. A managerial mistake from this perspective is giving rewards to everyone rather than only to those who perform.

3. Make sure that there is a reliable procedure for bringing about the desired response. If the desired behavior never occurs, there will be no opportunities to reinforce good performance. Training, modeling, or other methods may be necessary to set the stage for proper actions. When correct performance is elicited, reinforcement can appropriately follow. If good performance is already being given, reinforcement of that performance can be applied without preliminary preparations.[3]

Other rules for conditioning behavior include the following:

1. Don't reward all people the same. In other words, don't give rewards indiscriminately without considering the performance level of each individual. Instead, make reinforcements variable and related to the degree of performance. Individuals performing at higher levels will feel their performance is diminished by treating everyone alike, while lower performers will feel their subpar performance is meritorious.

2. Remember that failure to respond to and recognize performance has reinforcing consequences. Behavior that is not responded to will be modified regardless of its positive or negative nature. This is particularly true where managers fail to recognize good performance. The manager who says, "There's no reason for me to recognize good performance in my employees—that's what they are being paid for!" is making a big mistake. It's likely that extinction is occurring.

3. Be sure to tell each employee what to do to get reinforcement. A part of this communication is the giving of standards on which performance will be judged. All employees can benefit from clear guidelines.

4. If behavior is outside the desired boundaries, the performer should be informed of the inadequacies so that reinforcements (which should be punishing, in this case) can be interpreted properly as they are received. Even extinction can be misinterpreted if no information is exchanged.

5. If punishment is required for inadequate performance, it should be done privately. The punishing reinforcement should be enough without the public condemnation and damage to the self-image that could occur if done in front of others. Praise for good performance can be given publicly in most situations.
6. Workers should not be cheated out of earned rewards. Workers should feel equitably treated. Workers who feel underrewarded become angry or upset with the inequity of a situation; workers who feel overrewarded may lock themselves into poor performance levels if reinforcement is more positive than is deserved.[4]

Reinforcement Schedules

A major issue with the reinforcement method of motivation or conditioning is the frequency with which the reinforcement is given. One way to apply reinforcement, of course, can be continuous reinforcement. If this technique is used, it requires that every appropriate action be rewarded each time the action takes place. In other words, reinforcement is on a 1-to-1 ratio of performance-to-reward. One thing in favor of this approach is the fact that learning or beginning to practice a new, desirable behavior happens rapidly when reinforced this way. In fact, most experienced managers find that it is quite appropriate when employees are learning new skills and need heavy doses of encouragement. Long-range reinforcement can have its problems. Sustained effort is difficult to maintain. Under long-range continuous reinforcement, if continuous reinforcement is slowed or stopped, good behavior quickly decreases. Also, from a practical point of view, it may be extremely difficult to reinforce every good behavior of an individual.

Because continuous reinforcement has its limitations, it is usually wise to consider partial reinforcement (see Table 12.1). *Reinforcement schedules* can be based on two primary criteria; by interval, which means over a set period of time; or by ratio, which is done after a specific number of performances are achieved. Each category has two frequencies; fixed and variable. Fixed frequencies are specified ahead of time and known to the rewarder and the rewardee. Variable frequencies operate on average figures but are subject to fluctuation with the averages.

Using the two classifications, there are four partial reinforcement schedules. *Fixed interval* reinforcement is rewarding performance on the basis of a predetermined, precommunicated time period. A worker receives a salary every two weeks or a boss receives a monthly paycheck, for example. Fixed interval reinforcement affects performance at certain times. Higher levels of performance usually occur just prior to the predetermined reward, but a decline occurs quickly after the reward is received.

Some argue that salary is not a good reinforcer, because the time period is too lengthy to be effective. Also, some feel that salary techniques are really

TABLE 12.1. Partial Reinforcement Schedule

Reinforcement Type	When Applied	Effects on Behavior	Effects if Stopped	Typical Application
By Interval				
Fixed	After predetermined period of time—weekly, biweekly, etc.	Overall, performance is average; performance increases just prior to reinforcement date, then decreases thereafter	Quick extinction	Salaries; pay by the hour
Variable	Over a period of time on an average but at a time unknown specifically to the performer	Moderately high, fairly stable performance	Slow extinction	Random monthly performance evaluations and rewards
By Ratio				
Fixed	After a certain output level is achieved	High, very stable performance	Quick extinction	Piece-rate
Variable	After some average number of performances	High, stable	Slow extinction	Bonus given on an average number of performances

avoidance conditioning. This view sees employees working enough to avoid being discharged rather than to get a reward.[5] Fixed interval reinforcement usually is short-lived if its application is stopped. In other words, extinction takes place rapidly when reinforcement is curtailed.

Variable interval reinforcement is also based upon time periods but with less specific scheduling. Rewards may be received, for example, on an average of every two weeks but at random times unknown to the performer ahead of time. Random appraisals and bonuses might fit this category; of course, they must still be tied to correct performance. Imagine the problems that could be created if a bonus is given to an employee who has just made a major error, for example. Variable interval reinforcement usually achieves moderately high, fairly stable performance. Extinction occurs comparatively slowly.

Fixed ratio reinforcement is applied after a predetermined number of performances, such as after every 100 units of something is produced or after every $100,000 sales quota is met. The smaller the ratio (after every third unit, for example), the more effective the reinforcement. Fixed ratio reinforcement earns quick performance increases that tend to be stable over a period of time when the number of units is small. Extinction moves quickly when performance is no longer reinforced.

Variable ratio reinforcement is based on an average but less structured number of performances. Reinforcement can occur on an average of every 100 units produced but at more random levels that are not clearly known ahead of time by the performer. Extinction when variable ratios are used is slow, and performance usually remains high all through the time the technique is used.

Comparison of Reinforcement Motivation with Cognitive Motivation

Positive motivation was viewed in Chapter 11 as internal in origin. Motives were seen as unfilled needs, assuming that individuals were aware of unfilled needs. Chapter 11 also assumed that each individual was capable of evaluating the incentives offered. Values of rewards were evaluated in advance, as was the probability that successful performance could occur. Action was voluntary. Success resulted in rewards being received, while failure meant no rewards. Satisfaction occurred only after rewards were judged to be equitable. Dissatisfaction came if rewards were viewed to be inequitable. The process was to be repeated so that future rewards could be earned. Positive cognitive motivation was said to be future oriented. Work and other performances took place to gain future benefits.

Negative motivation from the cognitive view was seen in Chapter 11 as somewhat internal in origin. In this case, of course, the motivation was the fear of the loss of something important to the performer. Possible losses were evaluated on the basis of their worth, and probable successful performance was again estimated. Performance was based upon the hope of success so that losses could be avoided. The fairness and appropriateness of successes and failures were judged after rewards or penalties became apparent.

Cognitive motivations and reinforcement motivations may seem poles apart in their natures and origins, but the two concepts don't need to be kept separate. As seen in Figure 12.1, each phase of reinforcement motivation has its parallel in the cognitive models. There are stimuli, responses, and reinforcements in the cognitive model. The main differences are in the assumptions about the performer's thought processes as the steps occur. The reinforcement approach suggests that either performers do not think about the different stages or the thoughts are dismissed as being unimportant.[6] Reinforcement motivation theory offers that reinforcement (past rewards) causes future motivation, while cognitive motivation theory maintains that incentives (future opportunities) result in future motivation.

The negative model of cognitive motivation closely parallels the negative reinforcement and punishment concepts. If there is fear that something will be lost, the condition exists for negative reinforcement. If there is fear of loss, if performance is unsatisfactory, and if the loss is experienced, the employee receives punishment. This illustrates that the reinforcement and cognitive approaches differ in what people are perceived to think about as each step in the process occurs.

FIGURE 12.1. Comparison of Similar Stages of Reinforcement Motivation with Positive and Negative Cognitive Motivation Models

Reinforcement Approach			
	Stimulus_____	Response_____	Reinforcement
Cognitive Approach Positive Model			
Motive_____	Incentive_____	Action taken _____	6A (success and re- ward) or 6B and C (failure and no re- ward)
Cognitive Approach Negative Model			
Motive_____ (to protect and preserve what the worker already possesses)	Fear as Incentive_____ (threat that possessions, benefits, previous awards will be taken away; penal- ties applied)	Action taken _____	6—Option A (ade- quate performance results in no pen- alty; also, no re- ward) or 6—Option B (inadequate per- formance results in penalty)

Negative Reinforcement, Punishment, and the Disciplinary Process

The disciplinary procedures that many organizations use are basically implementations of negative reinforcement (avoidance) and punishment. The chief goal of the disciplinary process is to show the employee the consequences of undesired behavior. Once employees are aware of the consequences, it is assumed that they are conditioned to give desired behavior and avoid undesirable actions. Good efforts will avoid punishment, while bad actions will result in penalties.

The term *discipline* often connotes the giving of rewards or punishment after the fact when, in reality, discipline in its proper context should be visualized as the development of the ability to analyze situations, to determine what is the correct behavior, and to decide to act favorably in advance of the receiving of specific rewards or penalties. The worker eventually should become goal oriented voluntarily without pressure from others. The employee becomes "disciplined" to do what is desired by the organization rather than to do something that would be incorrect or "wrong" in terms of organizational aims.

On a personal basis, the healthy and well-disciplined individual is one who can both discuss what is right and wrong and control personal emotions, feelings, and desires so well that the individual performs the organizationally appropriate action even when it might be easier not to. Ideally, no worker would ever be called upon to sacrifice important moral values for the benefit of the or-

ganization, but workers sometimes do find discipline necessary in order to follow the course charted by organizational planners. Rules, regulations, procedures, and guidelines are a necessity in any organization. Adherence to these controls may require discipline on the part of each worker. Psychologists have indicated that discipline provides structure to our lives. It is an essential part of living and working and does not have to be viewed with total skepticism.

A Philosophy of Discipline

Before discussing the details of a disciplinary program, let's talk about the development of a philosophy of disciplining. Perhaps an analogy to the philosophy behind an entirely different managerial activity will be helpful in establishing the positive frame of reference needed as a foundation for disciplining. Although the setting involved in the analogy is totally different from a situation requiring employee disciplining, the philosophy is illustrated.

Wayne Housey is the credit and collections manager for Landmark Department Store, a major retail establishment in a large metropolitan area. Landmark handles its own credit and collections in addition to accepting other credit cards. Whenever Housey (or one of his assistants) receives an application for credit, he completely reviews the credit record of the applicant. When a decision is made to issue a credit card, Housey or his assistant is indicating that there is confidence that the customer is willing and able to meet the financial obligations of the credit extension.

When the customer makes a purchase using a credit card, the purchase is recorded. A statement is sent at the end of the monthly billing period to remind the customer that it is time for a payment to be made on the account. The department store (through its credit manager) has confidence that the customer will meet the obligation and that only a simple reminder (usually an impersonal bill) is all that is necessary to secure the payment.

If no payment is made, Housey sends another brief statement the next month restating the obligation. The statement is handled very positively; it is still expected that the customer will pay the amount due.

If no response is received on the basis of the reminders, the collection procedure progresses to the "should pay" stage, in which Housey sends a note discussing the terms of the original agreement and suggesting that the customer "should pay" the account to protect his or her credit rating or out of a sense of fair play or some other line of logic. The individual is considered valuable, someone whom the store wishes to keep as a customer. It is expected that the customer will respond to logic, reason, and the desire to act fairly and honorably. Perhaps more than one "should pay" letter is issued over a period of time.

> If a customer fails to respond to the appeal to reason and honesty, Housey eventually decides that the customer has no intention of living up to the obligation. The customer is no longer welcomed as a credit risk. A letter threatening to take steps harmful to the customer (through a legal suit, the loss of all credit privileges, etc.) is issued. Continued contact is not considered desirable if the customer is unwilling to meet the obligation. The threat of action is made and exercised if necessary.

The philosophy behind Wayne Housey's approach to collecting his company's credit payments is that qualified people who are knowledgeable concerning their responsibilities normally will fulfill their obligations willingly. Housey's role primarily is one of selecting qualified people and reminding them of their obligations at the appropriate time. Only when individuals do not fulfill their obligations does Housey's role change. If the conditions behind nonpayment appear to be beyond the control of the customer, Housey is helpful in attempting to find agreeable terms and adjustments. If, however, the individual shows that there is no intention of meeting obligations and fails to respond to reason and logic, the procedure moves to a negative, threatening stage. The customer is urged to action through fear of the effects of a poor credit rating if responsibility is not assumed for the obligations.

The similarity between this case and the proper handling of disciplining is striking. Individuals selected and placed in jobs ideally are chosen because they are qualified to perform adequately—they have the skills and abilities required to do the job or they are considered to be trainable. Training is provided as needed. Their supervisor instructs employees in their duties so that there is a clear understanding of the job demands. Organizational rules, regulations, and procedures should be spelled out, and the reward and penalty system should be clarified in advance. Understanding and acceptance of goals and expectations from the beginning is extremely important. It is these factors that workers must discipline themselves to observe or to work toward.

If a worker is to be disciplined to obligations, requirements, and demands, regular feedback must be given concerning the strengths and weaknesses of performance. The supervisor and other qualified personnel help discover progress and assist in overcoming difficulties that are encountered. Rewards are given whenever possible following an individual's successful performance.

Normally when a worker's performance falls below the standards expected, the worker will catch the errors and correct them. If this does not occur, a reminder from the supervisor usually receives a positive response, and inadequate behavior is corrected. If for some reason the worker does not immediately correct inadequacies in performance, other constructive reminders may be appropriate. If there is still no noticeable response to the oral reminders, the disciplinary process may enter a phase very similar to the

"should pay" stage in the collection process. With this, the supervisor may need to explain to the worker the importance of specific actions and may need to review the worker's understanding of personal obligations. If the employee is willing to perform satisfactorily but is being hindered by other factors, the supervisor may be able to help the employee overcome obstacles to performance. At this stage of the disciplinary program, goodwill prevails, and the supervisor's intent is to help the worker meet obligations and continue employment.

If, however, the worker shows no intention of living up to the obligations accepted when the commitment was made to take the job, the negative phase of the process begins. The worker may receive a warning that penalties will be applied if job responsibilities are not fulfilled. The penalties may vary depending upon the nature and degree of the poor performance.

If a worker fails to exercise self-control and self-discipline, the phases of the disciplinary process would proceed progressively. For example, the worker first receives one or more gentle reminders of the performance obligations that were accepted, and the need for correction is stressed. If the worker needs help in correcting actions, the supervisor provides the appropriate assistance. If the worker still fails to respond and to fulfill responsibilities, the worker then may be made aware of the positive contributions personal performance can make to the organization and the benefits that will come personally from performing satisfactorily. Sometimes a written warning is given at this stage to clarify the seriousness of the problem and to notify whatever unions may be involved.

Eventually, if the worker shows no desire to improve or to perform adequately, penalties will be threatened and applied. A disciplinary approach, therefore, can be conducted on a very positive, constructive level. It is assumed that workers will live up to goals and standards if they are known and accepted. The performance evaluation and control procedures are kept on a positive plane unless the actions and intent of the worker call for negative action. Disciplining is much more than the application of penalties; it is the training and regulating of behavior (preferably through self-control) so that work performance contributes to organizational and personal achievement.

Not everyone agrees that procedural disciplinary action is most useful. Some say, for example, that (1) for punishment to be effective, there must be continued surveillance, which can waste expensive time; (2) punishment only temporarily suppresses wrongdoing; and (3) punishment has bad side effects.[7]

Providing Fairness in Disciplinary Action

Douglas McGregor, in developing the hot stove approach to disciplining, suggested that criticism and penalties should occur (1) immediately after the employee does the wrong thing, (2) with advance warning, in the sense

that the worker knows what is expected and what the consequences will be if expectations are not met, (3) consistently against all individuals who commit the same shortcoming under the same conditions, and (4) impersonally, in that personalities are not criticized but the deed or action receives the corrective or punitive attention.[8]

Complete the Personal Feedback Disciplinary Style Questionnaire that follows to explore your own feelings about fairness in disciplinary action.

PERSONAL FEEDBACK
Disciplinary Style Questionnaire

Instructions: Please read the following cases and check the action you would take in each instance. Please answer with the response you feel would fix the correct action for each situation.

"The unauthorized possession of company property is an offense that will result in the immediate discharge of the offending employee."

While taking inventory and matching the orders to repair invoices, it was found that Walker, one of the mechanics, was ordering more parts than were needed to fix the cars that he was repairing. After talking with Walker, the supervisor learned that the mechanic was taking the parts and using them to fix cars at his house, thus picking up a little extra money.
What would you do as a supervisor?

_____ Ignore the infraction this time
_____ Informal oral warning
_____ Oral warning that goes on employee's record
_____ Written warning that goes on employee's record
_____ Suspension with pay for remainder of day
_____ Suspension with pay for longer than one day
_____ Suspension without pay for longer than one day
_____ Discharge employee

* * *

"Sleeping, reading, etc., during company time is expressly prohibited. An employee guilty of the above will be subject to a three (3) day suspension for the first offense."

Reed had a history of minor violations during his three years of employment with the firm, although he was a hard worker and the violations never amounted to enough to result in a formal disciplinary action. One day as he was waiting to pick up a crew of men out working, Reed became drowsy and fell asleep in the truck. This caused the work crew to have to call a man from the plant to come get them. Reed was discovered asleep about three miles from the work crew.
What would you do as a supervisor?

_____ Ignore the infraction this time
_____ Informal oral warning
_____ Oral warning that goes on employee's record

_____ Written warning that goes on employee's record
_____ Suspension with pay for remainder of the day
_____ Suspension with pay for longer than one day
_____ Suspension without pay for longer than one day
_____ Discharge employee

* * *

"An employee found by his supervisor to be unfit for the performance of his duties as a result of excessive drinking of alcoholic beverages will be suspended for five (5) days for the first offense."

Lyons, one of the workmen in the telephone repair department, was building a house with the help of his friends. Many times Lyons would provide beer and drinks after they had finished working on the house. The department supervisor noticed that since the house had been started, Lyons' work had suffered due to the excessive amount of drinking he was doing plus the added physical labor. The supervisor had jokingly referred to the problem one time because he knew Lyons was a good worker and was not accustomed to drinking so much. However, one day Lyons could not climb a high power pole safely because the night before he had stayed up too late drinking.
What would you do as supervisor?

_____ Ignore the infraction this time
_____ Informal oral warning
_____ Oral warning that goes on employee's record
_____ Written warning that goes on employee's record
_____ Suspension with pay for remainder of the day
_____ Suspension with pay for longer than one day
_____ Suspension without pay for longer than one day
_____ Discharge employee

* * *

"Any employee guilty of disorderly conduct, including horseplay, fighting, etc., during working hours will be suspended for three (3) days for the first offense."

Davis and Williams, both machinists, worked in the same general area under one supervisor. Monday morning, at about 10:30, Williams walked over to Davis and, without saying a word, began hitting him. The supervisor learned in the interview that the two men had a fight Saturday afternoon in a local bar. The fight had been broken up and seemingly forgotten until Williams attacked Davis on Monday.
What would you do as supervisor about Williams?
_____ Ignore the infraction this time
_____ Informal oral warning
_____ Oral warning that goes on employee's record
_____ Written warning that goes on employee's record
_____ Suspension with pay for remainder of day
_____ Suspension with pay for longer than one day
_____ Suspension without pay for longer than one day
_____ Discharge employee

Evaluating Your Answers

1. After you have answered each situation, check your answer by the hot stove rules.
   Have you been   consistent?
                          impersonal?
                          with warning?
                          immediate?
2. What additional information would you like to have about the situation before deciding what to do?
3. What would be the consequence of your action on the behavior of each person involved? What would the effect be on other workers who find out about it?

Source: David H. Hovey Jr., *Disciplinary Philosophy of First-Line Supervisor As a Function of Work-Unit Technology and Personal Values,* Unpublished dissertation, 1978. Used by permission of the author.

Taking action immediately following the identification of performance inadequacies is important because the employee needs to relate the undesirable behavior to the penalty or the need for correction. A major managerial mistake from this perspective occurs when managers decide to wait and not immediately discuss poor performance by employees, hoping it will go away by itself. Chances are it won't. Advance warning ensures that goals and penalties have been communicated before any action is begun. Consistency in disciplining is designed to provide fair treatment to and avoid favoritism toward certain individuals. The need for impersonality of correctional action removes the subjective, more emotional element of discipline so that corrective action can be handled objectively and constructively. Guidelines such as these can help managers ensure that they are administering discipline as constructively as possible.

Conducting the Correctional Interview

When it has been established that a worker needs correctional assistance and constructive criticism, the manager points out inappropriate behavior and sees that necessary changes are identified. The purpose of the discussion is to achieve improved performance, concentrating primarily upon future needs and future behavior. Notice the emphasis on the future and on new behavior. Several approaches and conditions can help to transform the session from a potentially negative and subjective review of a worker's shortcomings into a constructive, objective analysis that can result in improved performance.

1. It is extremely helpful if the supervisor-worker conversation concerning performance needs and inadequacies can take place in a private, confi-

dential climate. The old adage, "Commend in public, but criticize in private," is exactly what comes into play here. Privacy tends to remove the threat of making individual imperfection a matter of public record. Workers usually respond more favorably to constructive criticism that is confidentially given than they do to public criticism. Resentment and resistance build when a supervisor broadcasts the deficiencies of one individual to the individual's co-workers and other employees.

2. Before any criticism is given, the manager determines whether the worker understands the duties and expectations the job requires. If goals and standards are not understood, the correctional process must clarify them.

3. Any criticism that occurs dwells upon performance standards and the worker's inability to meet those standards. Criticism concentrates upon the job to be done and avoids personal references and accusations. Another adage is related to this: "Criticize the problem and not the person." Instead of saying to a worker, "You must not want to do what's right because your performance is always lacking" (or worse yet, "You messed up because you are so dumb"), a much better approach would be to say, "Your job makes these contributions and requires these actions. You seem to be having some difficulty with this area. What can be done to correct the problem?"

4. The initiative for identifying and correcting problem areas is given to the worker in every way possible.

5. Constructive criticism searches for tangible steps that can provide solutions for improvement. The worker is not criticized, penalized, and then left to flounder aimlessly. If you've ever been in a situation in which someone told you what you were doing wrong but didn't let you know how to do it right, you know how this feels. Positive steps for improvement need to be discussed, explained, and implemented.

6. A tone of constructive criticism is forward-looking rather than dwelling upon past actions. The damage from yesterday's mistakes has been done, but tomorrow's errors can be avoided. Any good coach, for example, will tell athletes that if a mistake is made, the offender should recognize the mistake, determine how it can be corrected, and then forget about it. The same situation is true with the worker and the boss. When a problem is identified and a solution is found, the mistake should not be brought up continually. In other words, the error should be forgotten after a positive plan of action is developed, as long as performance stays at the desired level.

7. Constructive evaluations include praise and affirmative recognition of good performance as well as criticism and penalties for inadequate performance. Recognition of adequate performance frequently is overlooked by managers, but, as we well know, it is vital to the performer.

8. When penalties are involved, they are applied objectively and explained. Methods and means for avoiding future penalties are reviewed.

Use of these concepts will help make criticism and correction constructive rather than destructive.

SUMMARY

Reinforcement motivation is based upon the premise that people repeat behavior that is treated positively and cease behavior that is penalized or ignored. A large amount of research supports this premise. The process, sometimes known as conditioning, would appear on the surface to be a technique in opposition to cognitive motivation. In reality, however, the concepts may be compatible. The stimulus → response → reinforcement sequence of this conditioning approach is accomplished in the cognitive method, also. The cognitive approach fills in details of the thoughts in people's minds more than the reinforcement position does.

There are four types of reinforcement: (1) positive reinforcement, which strengthens behavior with its use of rewards; (2) negative reinforcement, which strengthens performance as it avoids losses; (3) extinction, which withholds reinforcement to get unacceptable performance stopped; (4) and punishment, which applies penalties to bring a halt to undesirable actions.

Organizations use disciplinary action, a form of conditioning to increase or decrease behaviors. Disciplinary action can help individuals to be more self-regulating. Disciplinary action can be made fair and constructive if correct procedures are used.

QUESTIONS TO CONSIDER

1. Reinforcement or conditioning frequently is viewed as unrelated to cognitive motivation. Do you see the two concepts as related or unrelated? Why?
2. Is reinforcement inappropriate as a managerial technique because it manipulates employees to do things they may not wish to do? Explain.
3. What risks and dangers do you see with extinction as a means of getting behavior discontinued? With penalties as a means of getting behavior discontinued?
4. What risks, if any, do you see with conditioning as a behavioral control technique?
5. What are the strengths and weaknesses of the different reinforcement schedules?

6. What are the assumptions behind the procedural discipline concept as a philosophy of discipline?
7. What are the ethical issues of reinforcement in the workplace? Is reinforcement fair to the employee?
8. Do organizations have the right to punish employees for doing things they should not have done? For failing to do things they should have done? Explain.

CHAPTER CASE:
MANAGEMENT ON THE FAST TRACK

Upon graduation from school, you get accepted into the management-training program of a large international hotel company. The offer is particularly exciting because you're put into an exclusive, fast-track program the firm has developed for high-potential new employees. The program works like this: You are brought in at a high salary—approximately 30 percent higher than other college graduates entering the standard management training program—and over a three-year period, you will be rotated through a series of six-month assignments aimed at giving you background in all of the hotel chain's functions. You are expected to prove yourself, of course, by demonstrating outstanding performance in each assignment. At the end of the period, assuming you do well, you can look forward to an immediate promotion, either to hotel manager or into a second-level slot at headquarters—a position that will take people entering into the standard training program years, if ever, to attain. You're excited by the challenge and vow to do well.

Your first assignment is in St. Louis at a large convention property. You will be supervising the housekeeping staff—a group of fifty-three workers. Of this group, thirty-three are housekeepers, ten are inspectresses, and the other ten work in the laundry, doing washing, ironing, and related laundry activities. The housekeepers do the actual room cleanup; the inspectresses are leads—nonmanagement employees, but half a grade higher than the housekeepers—and they work behind the housekeepers, inspecting rooms, correcting minor problems, and, if there's a major problem, reporting to you so you can take action with the employee.

You quickly discover that things aren't all sweetness and light. There is constant bickering and arguing among the three groups, with each accusing the others of trying to act "better" than they are. The laundry workers feel that they have the hot, nasty job and that none of the others respect them. The housekeepers feel that the inspectresses look down on them, and they in turn look down on the laundry workers. The inspectresses are torn—most have recently been promoted from housekeeper and feel ties to their friends in housekeeping but are afraid they'll lose their jobs if they pretend to overlook poor work.

Then, there's you. *Everybody* looks at you funny. Word is out that you're in some kind of fancy program and won't be staying long. Your own subordinates clearly don't know what to make of you and are highly suspicious. The other managers are suspicious at best and overtly jealous at worst. Everybody gives you the cold shoulder.

You decide there's nothing to be done about it and get on with your work. Since the morale problem among the inspectresses seem to be the most critical problem, you decide to start by talking to them individually. You start with Susie, the newest appointee to inspectress. No sooner do you start talking to her than she bursts into tears.

"I just want to go out and shoot myself," she sobs. "I desperately need the extra money, or I'd go back to housekeeper in a minute! All my housekeeper friends hate me! At first, when they messed up, I'd try to do it over for them so no one would know and they wouldn't get in trouble. But as soon as they found out that I'd do that, they'd just mess up more. So I started turning them in, and now nobody's speaking to me!"

At this point, Susie collapses into uncontrollable sobs, and you are left wondering what to do.

Case Questions

1. According to the disciplinary approach recommended in the chapter, how should Susie have been handling the housekeepers? Compare how she should have been handling the situation with the way she was handling it.
2. If Susie is to use reinforcement theory properly, what does she need to do with the housekeepers? What should you do as her boss?
3. What kind of reinforcement are you as the management trainee receiving? What's wrong with this?
4. Does reinforcement come only from one's superiors? How does this case illustrate this?

GLOSSARY

discipline: The process by which an individual learns self-control that leads to doing the correct things so that rewards are earned and penalties are avoided.

extinction: A form of conditioning in which behavior goes unrewarded as a method of getting that behavior discontinued.

hot stove disciplining: The process used by an organization to get "correct" behaviors from employees by the use of immediate, consistent, impersonal, prewarned penalties.

primary reinforcer: Basic items such as food, clothing, and shelter that are used to provide the continuation of a desirable behavior or the elimination of an undesirable behavior.

punishment: A form of reinforcement in which penalties are applied to get a behavior decreased or stopped.

reinforcement: Providing either a reward or a penalty following an employee's behavior to encourage the continuation of desirable behavior or the elimination of an undesirable behavior.

reinforcement schedule: A designated pattern by which behaviors will be rewarded or penalized. The sequence and frequency is determined usually by ratio or interval on a variable or fixed basis.

secondary reinforcer: Reward or penalty following a behavior in which the reward takes the form of a promotion, praise, or recognition.

Chapter 13

Communicating Concepts
and Information

OBJECTIVES

- To identify the contributions made by effective organization communication
- To consider the optimal conditions and circumstances for good communication
- To study the communication process
- To clarify managerial responsibilities for each step of the communication process
- To identify problem areas in the communication process and to consider solutions and alternatives
- To discuss methods for the selection of communication media
- To identify the roles of counseling as a communication process
- To review two major counseling techniques and to discover their potential contributions
- To develop skills for being a good listener
- To learn how to be assertive for the benefit of everyone
- To consider the actions, methods, and purposes of the communication grapevine

A CASE TO CONSIDER:
COMMUNICATION POLICIES AT CENTRAL FOOD

Central Food Processing Corporation is a young, diversified processor and distributor of agricultural products for human consumption. The company has been in business for only two years. It purchases raw food materials, processes them to fit the needs of the consumer, packages the finished products for the customer's convenience, and distributes the products to wholesalers and retailers.

At the beginning, the organization was small with few personnel. The management of the corporation did not feel it was necessary to draft a long

list of detailed policies and procedures, because most policies could be spread by word of mouth when necessary. Also, it was felt that there would be more flexibility in handling policies if the policies were oral rather than written. However, with the tremendous growth in the company during the two years it has been operating, management now feels that more written policies are necessary. Accordingly, new statements of policy are periodically distributed in memorandum form to all supervisory personnel. The supervisors are expected to inform their employees of the policy through whatever means they feel is appropriate. A few days ago, the company issued the following statement of policy concerning disciplinary action:

> Disciplinary action shall be taken by supervisors for just cause whenever necessary. Each supervisor shall be certain to establish that the worker to be disciplined has actually committed an offense worthy of a penalty before the penalty is applied. Whenever possible, four steps shall be followed in disciplining a worker. First, the worker shall be given an oral warning following the first commission of a mistake. Second, if the poor behavior continues, the worker shall be given a written warning that future errors will result in the application of serious penalties. Third, if no improvement in performance is evidenced, a penalty such as a disciplinary layoff without pay will be implemented. Finally, if no change in behavior is exhibited, discharge will occur. All of the preliminary steps may be bypassed in the case of serious offenses such as fighting or actions that endanger the health and safety of other workers.

The company director of personnel is curious to know the reactions of supervisors and their employees to the new policy statement. He circulates through the plant interviewing different people to see what they think of the policy. He gets a variety of reactions. From one supervisor, he hears:

> I think this is what we've needed for a long time. This new policy gives me the authority to knuckle down on some guys that have been getting away with murder. I try to run a tight ship. I want my workers to know who is the boss. With this policy in effect, I'm going to give some people written warnings in the next day or two. I should be able to discharge some poor workers pretty soon.

Another supervisor has these comments:

> The policy statement doesn't give me much help. From what it says, I don't really know when I'm supposed to give a written warning or when I'm supposed to deal out a penalty. And I don't know how severe

a penalty should be. This only seems to complicate my job. I could use some help in interpreting the policy, but nobody has offered any.

A worker (a nonsupervisor) with a history of work infractions (for which he already has been disciplined) has this to say:

> Well, I haven't actually seen the policy statement, but my boss said that I'd better be on my toes from now on because he has the company's okay to fire me if I do anything wrong again. I feel like I'm pretty well under the gun. I'm kinda shook up about it all.

Another worker (a nonsupervisor) with a good work record (and in another department) makes this statement:

> I've read the statement, and it seems fine to me. As long as I do my job, I've got nothing to be afraid of. I've got a good boss, one who treats me well. I personally feel the policy is a protection for me.

The director of personnel is struck by the diversity of reactions to the new policy statement. It appears to him as if the four individuals interviewed have been looking at four different policy statements instead of the single one issued by his office.

Case Questions

1. To what factors do you attribute the different reactions to the policy statement? Take each individual who was interviewed and analyze the causes for his or her reaction.
2. Analyze the way in which policy statements were introduced to the workers. What problem areas exist in the communication methods?
3. What steps could the company take to improve its methods of communicating important matters such as policy statements?
4. Someone has said the distortion of communication messages is likely to occur when there are intermediaries who relay messages from one individual to another. What situation in this case supports this statement?
5. What lessons can be learned about interpersonal communications from this case?

* * *

Providing the proper leadership, determining the appropriate incentives to appeal to employees' motives, and giving careful attention to workers' morale are essential responsibilities of every manager. Another important

duty of every manager is to ensure an efficient exchange of ideas, information, and knowledge among all individuals who work together.

One of the most vital activities in an organization is the communication of ideas among individuals as they interrelate with each other. When people communicate, they are exchanging messages upon which action can be taken. Communication has sometimes been defined as the transferring of a mental concept from the brain of one individual to the brain of another. Communication can occur between two or more people anywhere, but we are mostly concerned with the communication that takes place between people in the work setting.

WHAT COMMUNICATING DOES

Proper interpersonal communication does a great deal for the people who make up work organizations. Lee Thayer, for example, divides the purposes or functions of organizational communication into four specific categories: (1) the information function, (2) the command and instruction function, (3) the influence and persuasion function, and (4) the integrative function.[1]

The Information Function

The information function serves to provide knowledge to the individuals needing it for guidance in their work. The information function also fulfills workers' desires for awareness of things that affect them. Employees are hungry for information about anything that is related to their jobs.

Employees want to know about their company—its background and present organization. They want to know what its products are—how they are made and where they go. They are interested in knowing what the company's policies are—especially new policies—as the policies affect them and their fellow workers. They are concerned about the reasons for changes in methods, and they are interested in information about new products. They want this information in advance. They are eager to learn what is expected of them and how they are measuring up. They want to know what the outlook is for the business and what their prospects are for steady work. They are interested in knowing about profits and losses. Should circumstances make layoffs necessary, employees want as much advance notice as possible, and they want to know the reasons for the layoffs and how they might be affected.

Look back at the Central Food case. Notice that one function that was intended (regardless of how effective it may or may not have been) by the policy statement was to give information to supervisors and employees about how the company wanted to handle discipline of its employees.

The Command and Instruction Function

The instruction function serves to make employees aware of their obligations to the formal organization and to provide additional guidance and assistance on how to correctly perform their duties. Greenbaum, in speaking of what he calls the informative-instructive function, stresses that this function's importance lies in helping not only each worker individually but also the organization collectively. Higher performances, better morale, greater adaptability, and increased effectiveness result as people learn more about what is expected of them.[2] Most of this type of communication appears to flow downward in the organization. In the Central Foods case, the second supervisor apparently believes that this is the purpose of the policy statement. Furthermore, the supervisor's comment, "The policy statement doesn't give me much help," suggests that for that particular supervisor, the policy statement isn't performing its intended function.

The Influence and Persuasion Function

The influence and persuasion function is sometimes known as the motivational function because its main purpose is to encourage the appropriate individuals to perform or exhibit a certain behavior. Messages communicated are used to convince individuals that their actions can be personally or organizationally beneficial, or perhaps both.[3] In the Central Foods case, the supervisor of the employee who has made previous errors may have been trying to use the policy statement as the basis of an influence and persuasion communication with this employee. Was the communication successful?

The Integrative Function

The integrative function of communication refers to the fact that the communication of messages and ideas, if handled properly, should help to relate the activities of the workers so that their efforts complement rather than detract from one another. Work efforts are unified rather than fragmented as a result of properly integrative communication.[4] Take another look at the Central Foods case. Clearly, the director of personnel had hoped that the policy would unify and integrate the supervisors' approaches to discipline. Was the communication a success?

The Innovation Function

To this list of communication functions at least one other can be added: the innovation function. This is the communication duty that works to ensure that the organization can adjust to various internal and external influences (such as those from technology, society, education, economics, and politics). This function is concerned with problem solving, adaptation to

change, and the processing of new ideas.[5] Notice, for example, in the Central Foods case, that the switch to written policies is part of the organization's effort to adapt to changes brought about by the recent tremendous growth.

As we consider Thayer's ideas, it is easy to recognize that he's talking primarily about things that communication does for the organization and how communication helps people to achieve higher levels of performance. Anderson and Martin look at the role of communication a little differently as they consider the personal motives that employees have for communicating at work. These motives include desires to communicate with superiors and/or co-workers to gain pleasure, to escape existing situations that are unpleasant, to receive affection, for relaxation, to achieve a higher level of control, and for inclusion-affiliation purposes.[6]

As Anderson and Martin completed one phase of their research they discovered that men communicate more with co-workers for control needs while women communicate with co-workers for affection. Women communicate more with superiors (rather than co-workers) when duty or performance is the issue.[7]

THE PERFECT ORGANIZATIONAL COMMUNICATION SITUATION

Within Likert's System 4—the rather idealistic kind of organization mentioned in Chapter 10—are some "perfect" conditions for communication within an organization. The four considerations Likert mentioned for effective communication are added to other characteristics to describe a model for communication. The workplace where these factors are present would be an open, stimulating environment (see Table 13.1).

Although perfection in communication is impossible to attain, it is useful to recognize what ideal communication would look like. With the ideas mentioned in mind, we can envision what is desirable and strive for the best possible levels of performance. The closer we come to the ideal, the better will be our results in a number of areas. Let's now turn to a brief description of the communication process, after which we'll look at stumbling blocks to ideal communication. Finally, we will consider methods for achieving better communication performance.

THE COMMUNICATION PROCESS

There are many phases to the communication process.[8] The model in Figure 13.1 illustrates the many steps in the complete communication process.

TABLE 13.1. Characteristics of an Ideal Organizational Communication System

1. Three-directional communication that moves downward, upward, and sideways throughout the organization
2. Downward communication that is accepted with an open mind by those receiving it
3. Upward communication that is accurate
4. Superiors (supervisors) who know very well the problems faced by their employees
5. The things people communicate to each other are for the benefit of everyone, not just one person or a few people
6. Employees, peers, and bosses communicate what others need to know in order to perform effectively, not just what they want to know
7. Problem areas and subjects where there are differences of opinion that are identified and handled rather than avoided and swept under the rug
8. People receive and interpret messages in such a way that the intended meaning is given to the message
9. Individuals receive feedback regularly so that they know the results of their efforts
10. Information arrives for recipients when it is needed rather than before or after it is needed

Source: Some of the components were derived from Rensis Likert, *New Patterns of Management* (New York: McGraw-Hill, 1961), 225-227.

Deciding on the Message

The sender begins the communication process by recognizing the need to convey a message to someone else. The sender has information guidelines, motivational material, or coordinative concepts that may be important to the receiver.

Analysis of the Receiver

As the sender plans the message, several factors about the receiver are considered: the knowledge that the receiver has of the subject matter to be communicated, the working conditions of the receiver, the job responsibilities of the receiver, and other background information. Look again at the Central Foods case at the beginning of the chapter. Notice that each receiver of the information has a different background. Did the personnel director plan the message to take this into consideration?

Choice of Symbols

The sender analyzes the receiver to determine the meaning that the message will have as it is received and interpreted. People communicate through

FIGURE 13.1. Model of Purposeful Communication
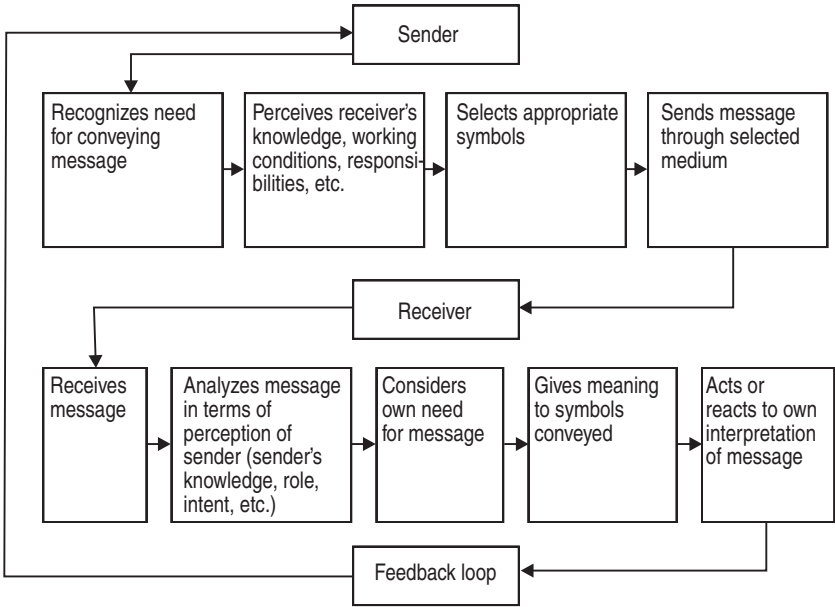
symbols. Words, gestures, expressions, etc., are all symbols in the communication process, although we aren't always accustomed to thinking of them in this way. As a result, the sender must anticipate the meaning a symbol may have for the receiver and choose the symbol that will best be interpreted in the way the sender intends. Thus, the sender looks for clues that will help gauge the receiver's interpretation; the appropriate symbol is then communicated. This is often called the encoding process.

Groups of individuals sometimes develop their own unique set of symbols or language—known as jargon—for communicating. Jargon generally lacks meaning for outsiders. To airline pilots, for example, to "grease a landing" is to make a smooth arrival. A "pudknocker" is a beginning pilot who doesn't have an instrument rating. "Sky Goddesses" are female flight attendants, and the "Sky Mama" is the lead female flight attendant. Boeing 727s are "three-holers" (three engines), Boeing 747s are "whales," and Boeing 757s are "Coleco cruisers" as a result of their electronic flight systems.[9]

If you were a youth during the late 1980s to early 1990s, you may know what a "bowhead" or a "Clydesdale" or a "Bifftad" or a "dweeb" is. A bowhead is a girl who wears ribbons in her hair. A Clydesdale is a good-looking

guy. A Bifftad is a preppy boy (these boys are often named Biff or Tad). A dweeb is a nerd or a geek (terms from an earlier era).[10]

When communication is simple and only one message needs sending, the encoding process is simple. When more than one message needs forwarding, the encoding process becomes complex and time consuming as symbol selection and sequencing are accomplished.[11]

Selection of Medium

Selection of the proper medium through which to send the message is the next step. Lengel and Daft have said that the truly good communicator is not the best speaker or the best writer, but the person who knows how to select the right medium (channel or instrument) through which to communicate. The key is to select the medium with the right degree of richness. A rich medium is the one through which the most learning can be accomplished. A lean medium, on the other hand, is one in which only bare information is given without any help.[12]

Richness of a communication medium can be determined by analyzing the medium's ability to handle multiple information cues simultaneously, facilitate rapid feedback, and establish a personal focus. As Figure 13.2 shows, the communication medium with the highest level of richness is physically present (face-to-face) communication. Interactive media such as telephone conversations come next. Personal, static media, such as letters, memoranda, and reports, come next. The media with the least richness—the impersonal, static type, including bulletins, flyers, and generalized re-

FIGURE 13.2. Matching Media Richness to Communication Situation

Media Richness   Highest

↑ *Physical presence*
  (face-to-face)

Interactive media
  (telephone, etc.)

Personal, static media
  (memos, letters, reports)

↓ *Impersonal, static media*
  (flyers, bulletins, generalized reports)

Media Leanness   Lowest
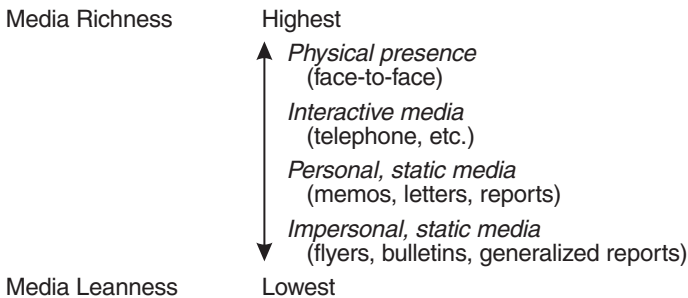
Source: Robert H. Lengel and Richard L. Daft, "The Selection of Communication Media As an Executive Skill," *Academy of Management Executive, 2*(3): 225-232, 1988.

ports—come last. Learning, in other words, occurs best in direct, personal message giving.

Lengel and Daft declare four rules for matching media richness to the communication situation:

1. Send nonroutine messages through a rich medium (such as face to face).
2. Send routine, simple messages through a lean medium.
3. Use rich media to extend your presence throughout the organization.
4. Use rich media for implementing company strategy.[13]

The general rule is to apply rich media in nonroutine situations and lean media in highly routine situations.

Computers are becoming more and more of a communication medium. Computer communication is rapid and serves as an excellent method to gather, synthesize, organize, monitor, and disseminate messages. On the richness scale just discussed, computers have the potential to be rich or lean, depending on how they are used.[14] A message sent from one person to another through the computer would be a rich message, since the communication occurs directly through the computer. Simultaneously communicating the same message through the computer to 100 different people would be communicating in a lean manner.

RECEIVER RESPONSIBILITIES

After the symbol is sent, the burden of interpretation and action then is placed upon the receiver. The receiver takes the message and attempts to discover its meaning by analyzing the sender and the intent by looking at the sender's role, knowledge, experience, and authority. The receiver also considers what can be gained from the message and the message's significance. The receiver places meaning on the symbols conveyed and acts or reacts to the message as it has been interpreted, which is called decoding. Feedback is then given to the sender in the form of another message, an action, or a body motion or through some other method of communication.

Responsibility for Clear Communication of Messages

Most of the time we tend to think of communication as a simple matter. How often have you heard people say things such as, "Of course John knows how to do that—I just told him how"? But the model we've just reviewed suggests that communication is much more complex than most people realize; in a work environment, it's a process in which heavy responsibility falls on the manager. Only the correct interpretation of messages will be useful.

Faulty interpretation will often cause more harm than good. If the supervisor-manager is the sender of messages, the message must be prepared and conveyed so that it can be interpreted as it was intended to be. The manager must also help others know how to communicate so that the messages they send will be understood and acted upon properly.

PROBLEMS IN THE COMMUNICATION PROCESS

Problems in Conveying the Intended Meaning

As the sender communicates a message, several difficulties may get in the way of proper interpretation of the message communicated. Some of the problems are perceptual and psychological; others occur primarily as a result of the specific situation.

The Problem of Filtering

Objectivity in receiving and interpreting messages is often difficult to achieve. Receivers have a tendency to hear what they wish to hear in messages directed toward them. The filtering of messages occurs both in what the receiver is willing to acknowledge receiving and in the interpretation the receiver gives to the message. Messages that are consistent with the receiver's self-image and provide useful knowledge may be received and interpreted carefully. Messages that threaten self-image or negatively affect desires and expectations may either be ignored or be interpreted in a less threatening way. This may happen in the performance appraisal situation when the message of the appraisal is negative. Let's listen in on the end of a discussion between John, a manager, and Fred, a poorly performing employee:

JOHN: Fred, I honestly believe you can do the work. And I know you're interested in the job. That's good. But I've got to see those things translated into performance. You simply aren't getting the work out, and I've got to see improvement immediately.

FRED: Sure thing, John.

After the discussion, Fred runs into Sally, a co-worker, and this discussion ensues:

SALLY: How'd the appraisal go, Fred?

FRED: Not bad! I think the boss is really catching on to what I have to offer. He commended me for my ability and my interest.

Did Fred hear what he wanted to hear?

The Problem of Distortion

Distortion is another form of message interpretation. It is usually an un-intentional manipulation of messages. Distortion is the wrong interpretation of meanings that may result from misleading circumstances or conditions. Distortion frequently occurs, for example, when a message must go through several individuals in order to reach the intended recipient. Anyone who has played the communication game "Telephone" understands the potential for distortion. As a message is passed through a long chain of individuals, the content and order of the message undergo a transformation.

The hearing problem is especially compounded when the message is re-ceived out of context. Distance between the sender and the receiver nor-mally results in such difficulties. Furthermore, differences in background may enter in. Words may mean different things to different people, depend-ing upon people's past experiences and education. The authors recall a stu-dent who had become increasingly fond of big words. "Let's interact!" the student said to a female acquaintance one day. She slapped him soundly, re-plying, "I don't do things like that with men I hardly know!" The point is to avoid the use of big or impressive-sounding words unless you're sure your receiver knows what they mean.

Distortions can also occur when the receiver is distracted from the in-tended message by other noises (symbols without significant form or value). The employee receives many messages while at work. Sometimes messages and rumors assault the recipient from all directions—supervisors, employees, and colleagues. Frequently, one source sends out many mes-sages; some of the messages sent may even appear to be contradictory. Overcommunication may be as much a problem (resulting in distortion) as other sources of difficulty.

Sayles and Strauss note that another form of distortion is exaggeration.[15] With exaggeration, the message is received and then overstated or overreacted to; it is interpreted to mean more than it really does. Often this results from the perception of the large amount of authority carried by the sender of the mes-sages—particularly a high-level official. We ask ourselves, "What was really meant by what the boss said?" Then we may add our own interpretation.

Timing As a Problem

On occasion, the stumbling block to the proper interpretation of messages is the fact that the message reaches the receiver at a time when the receiver is not ready to utilize the message (it is premature), or the message is too late to be helpful, or the message is received at a time when the receiver is preoccu-pied with other matters, and the receiver therefore misinterprets the meaning.

The difficulties of receiving messages before or after they are needed are fairly obvious. The more unique problem, however, is the one of sending a

message when the receiver has other thoughts in mind. If, for example, a worker is feeling insecure because rumors are circulating that a large number of workers are to be laid off, the boss's request for data concerning that person's performance over the past year may be viewed as a request for data to find grounds for dismissal. The boss, in fact, may have been looking for data to use in considering the employee for a promotion, but the timing has caused the request to be misinterpreted.

Inconsistent Actions and Messages

The receiver's interpretation of messages is significantly influenced by the receiver's perception of and attitude toward the sender. If the sender is consistent, the receiver will find the development of a set of perceptions and attitudes toward the sender much easier than if the sender constantly says one thing and does something different. If the sender appears steady, competent, and knowledgeable, the receiver may learn to respect the information sent and to place high value on receiving it. If the sender appears flighty, erratic, and uncertain, the receiver will come to be apprehensive toward messages received. Even more important may be the consistency of information passed along by the sender. If information is regularly useful and dependable, the receiver learns to trust it and give it attention. If the messages are variable and sometimes inadequate, the receiver rapidly becomes skeptical. The level of confidence in the sender as a result of consistent actions and messages, therefore, has its own impact upon message interpretation.

The discussion of transactional analysis (TA) in Chapter 8 adds another dimension of consistency. According to TA, three personality parts make up the psychological composition of each individual—the parent, the adult, and the child. The parent is the guidance-filled part; the adult is the rational, objective part; and the child is the emotional part. Both sender and receiver have the three personality parts at work. If both sender and receiver recognize which part of their personality (parent, adult, or child) is sending or receiving messages, interpretation of each message will be more accurate. When each party is aware of the personality part sending or receiving messages, the transaction is said to be complementary (see Figure 13.3). When either or both parties expect the other to be communicating from one personality part but other parts are actually used, a crossed transaction occurs. Neither sender nor receiver may get what was expected.

Here's an example of a crossed transaction:

MANAGER (from the adult): We're going to have to give this proposal some serious consideration.

EMPLOYEE (from the child): Oh, don't be serious about everything. Let's just run through it and get out of here.

Have these two people really communicated about this project?

FIGURE 13.3. The Transactional Analysis View of Communication

Complementary transaction

Sender		Receiver	
			Sender and receiver are both aware of the
P	→	P	parts of the personality being used to send
A	←	A	or receive messages.
C		C	

Crossed transaction

Sender		Receiver	
			Unexpected parts of the personality are
P		P	used to send and receive messages.
A		A	
C		C	

Ulterior transaction

Sender		Receiver	
			A hidden agenda exists; one or both parties
P	← Actually is →	P	deliberately hide source of or receiver of
A	← Appears to be →	A	communication.
C		C	
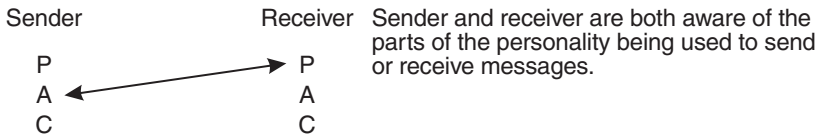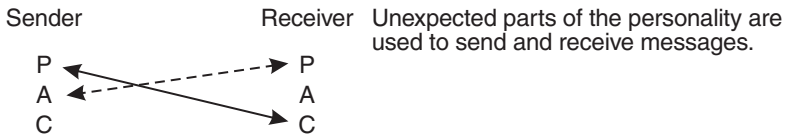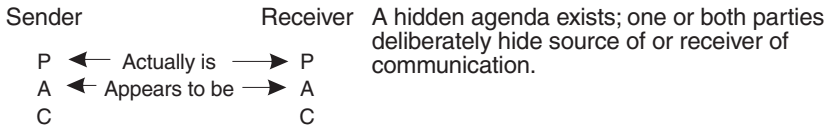
Note: P = Parent, A = Adult, C = Child

When sender or receiver or both purposefully hide the source of sending and receiving messages and a hidden agenda exists, the transaction is called ulterior. When communication transactions are complementary, messages are more likely to be received openly and objectively. When crossed or ulterior transactions occur, reception is likely to be faulty.

The Receiver's State of Mind

Running through all of the previously mentioned barriers is the perception the receiver holds of the sender, and vice versa. One of the overall determining factors of the success of communication is the state of mind of those involved. If the participants are optimistic, forward-looking, and free of bias, the communication and interpretation of messages will probably be unbiased, objective, and realistic.

Anxiety, as many psychologists call the state of mind in which someone is worried and apprehensive, tends to be detrimental either to the sender or the receiver. The sender who is anxious tends to overcommunicate (often including much unnecessary information) or to remain silent when there should be communication. The receiver who is apprehensive tends toward

overreaction, distortion, or bias. Individuals may even fail to listen because of tension or mental strain. The individual's mind may be closed to useful receiving and interpretation. You can probably recall times when this has happened to you. When you were anxious, were you as good a sender or receiver as you usually are?

OVERCOMING PROBLEMS
OF MESSAGE INTERPRETATION

The sender of a message has at least partial control over the communication process. As a result, there are several actions that may improve interpretation of and reaction to the messages sent. Following is a list of suggestions to be considered by senders in the communication process:

1. The sender should attempt to remove biases and tensions that may cloud the mind. Although it may be impossible to remove them completely, identification and acknowledgment of the existence of personal biases and tensions go far in managing the effects they will have. At least they may be compensated for or overcome.
2. Before communicating, the communicator should attempt to determine the real purpose of the communication. What reasons does the sender have for sending messages, asking for actions and reactions, or requesting return information? What is the receiver's need for communication? Once the need has been determined, it is wise to send only necessary communication and refrain from sending nonpurposeful messages. This will help check massive flows of communication that can result in distortion and insensitivity.
3. It is desirable to learn as much as possible about the receiver before the communication occurs. This will help in determining how the receiver is likely to interpret or react to the message received. In addition to looking for clues concerning communication needs, the sender should look for signals relating to the receiver's state of mind, background, previous experience, organizational responsibilities, self-perceptions, and anything else that might indicate how messages will be decoded and understood. The sender should empathize with the receiver as completely as possible.
4. Also desirable is consistency in thought and action. The receiver can learn to receive and react to consistent messages from a consistent sender more readily than to fluctuating messages from an unpredictable sender.
5. The sender will be assisted in the communication process if the activated personality part (parent, adult, or child) of self and the receiver are known. Senders who know from where their own thoughts are arising and where they are going insofar as the receiver is concerned

will be more effective in communicating. This is also true when the receiver is upset. Filtering and distortion become serious problems when the receiver is emotional. In such cases, messages should be discontinued. Time should be allowed for the emotional period to pass before continuing.

6. In issuing the message, it is important to have the receiver's attention so that the receiver will be sensitive to what is being sent. If the receiver is preoccupied with other thoughts or the noise level is high, the receiver may fail to hear the message sent.

7. The sender should communicate as directly with the intended receiver as is practical. Although it is not always possible to give the message directly to the person intended, the fewer go-betweens involved, the more the chances of distortion or other forms of misinterpretation are reduced.

8. The use of symbols (words, gestures, etc.) that are simple and uncomplicated is helpful. The more complex the communication symbols, the more likely the misinterpretation of their intended meaning.

9. Repetition of messages may be helpful in conveying the intended thoughts. Often a single transmission of an idea may not be received or decoded properly. A second or third repetition of the message may assist the receiver in the understanding and use of the concept. Communicators are frequently reluctant to repeat themselves because they feel repetition is either unnecessary or insulting to the receiver. However, after a communication fails, the sender is often aware that a second or third repetition would have been useful. A good technique is to send the message again but do it in a different way. If a communication is sent in writing and it doesn't work, doing the same thing a second time may not work either. Instead, a spoken message or even pictures may work.

10. Messages should be timed so that they are received when they are needed and are not misconstrued as a result of other thoughts on the receiver's mind. As the sender, it is important to put oneself in the receiver's place (empathize with the receiver) if timing of messages is to be handled properly.

11. Get feedback. Ask receivers to repeat back what they understand to be the message. After giving a lengthy message to Amy, you might say something like this: "Amy, I want to make sure we both understand what needs to be done. How about giving me a rundown of what I've said and what actions you're to take?"

When you are the receiver, of course, you are responsible for putting messages into the context in which they were intended. The receiver should also attempt to be aware of personal biases as well as biases of the sender, recognize personal needs for the message as well as the needs of the sender,

size up the sender and self in terms of activated personality parts, and listen for all intended meanings. The receiver must be aware of the conditions existing in the environment as messages are interpreted.

CREATING CONDITIONS
FOR EFFECTIVE COMMUNICATION

How Does the Organizational Chart Enter In?

The preceding section emphasized sender-receiver relationships and the communication process in general. It is important to recognize that the formal organizational structure will also have an effect upon the successful transmission of concepts and ideas from the appropriate sender(s) to the appropriate receiver(s). A firm's organizational chart offers many clues about the firm's communication patterns.

Chapter 4 pointed out that the formal hierarchy with its accompanying lines of authority determines to a large degree how communication channels are set up. If the employees of an organization are clearly aware of manager-employee relationships and horizontal networks, the employees will know with whom they should communicate directly and what communication needs and expectations the receivers will have. If lines of authority and channels of communication are not known, excessive communication or lack of communication will occur. Difficulties with who is accountable to whom and how messages are to be spread are most likely to occur when organization structures are altered frequently or when organizations are established and grow without properly defining authority relationships.

Looking more closely at the pair of organizational charts in Figure 13.4, let's see what we can determine about the communication patterns in the two firms.

Of course, our example is exaggerated, but think for a moment about the communication pattern you would expect of Firm A versus that of Firm B. What would be the pros and cons in each case?

FIGURE 13.4. Firm A and Firm B
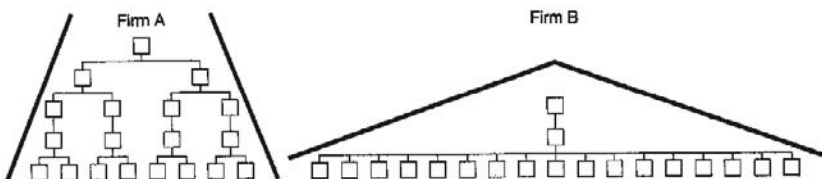
Notice that the two firms have the same number of employees, but Firm A features a narrow span of control (there are few reporting directly to a boss), while Firm B has a wide span (many reporting to a single boss). Wide spans of supervision tend to restrict the amount of time a supervisor can spend with each subordinate and may result in hurried communication on the part of both supervisor and employee. Communication can easily become impersonal if the interests of supervisors are spread too widely. Employees who work for bosses with wide spans, such as the managers in Firm B, may come to feel that their boss has no direct, personal interest in communication with them.

On the other hand, the chances of upward-downward distortion are decreased in flat structures such as Firm B, with wide spans of supervision and few levels in the hierarchy. There are fewer distortions because messages flow through fewer levels in getting from the top to the bottom, and vice versa. In contrast, in tall structures, such as Firm A, that have narrow spans and many levels, communication becomes more manageable. Each supervisor has fewer employees to communicate with and listen to and more time to devote to communication. However, the possibility of upward-downward distortion increases as the number of levels in the hierarchy grows. So we would expect more distortions in Firm A than in Firm B, but, ironically, employees may be more satisfied with communication in Firm A than in Firm B.

What about horizontal or sideways communication? Surprisingly, relatively little research has been done on communicating effectively with others at the same level in an organization. However, a glance at the organizational chart for Firms A and B suggests that the organizational chart will probably affect horizontal communication. In Firm A, employees at the same organization level may report to different managers. When this happens, they may find it more difficult to communicate with one another, especially when it comes to resolving problems. Instead of simply talking out problems and resolving them at their level, employees may find themselves getting their supervisors involved and "kicking problems upstairs," possibly by as much as two or three levels. Obviously, this can be a cumbersome and time-consuming process.

Firm A may have the potential for better horizontal communications, but only if the supervisor is skillful. Ideally, in organizations like Firm B, the manager will establish clear job descriptions and will make clear to employees how much authority they have, what problems they are to work out among themselves, and which problems should be resolved by the boss. This may involve the principle of management by exception—where managers look at exceptions (departures) from expected performance rather than watching every little step the worker takes. Routine things should be manageable by the workers themselves. If principles such as management by exception are in effect, if subordinates have the proper training, and if

they are motivated to take responsibility for it, horizontal communication can be very effective in firms such as Firm B.

ENCOURAGING UPWARD COMMUNICATION

Much of the previous discussion has pointed to the importance of the supervisor in communication. The initiative for downward communication is in the hands of the supervisor in charge of a group of people and their activities. Supervisors are expected to know the people for whom they are responsible and to provide downward communication.

Encouraging workers to communicate upward is another matter. Upward communication is more difficult because much of the initiative in this direction is in the hands of the employee. For upward communication to take place, employees must feel the need to communicate and must have a certain amount of confidence and security in their relationship with the boss. What erodes the boss-employee relationship, and when are employees likely to be reluctant to communicate upward? Several situations can lead to problems:

1. An employee will be hesitant to send upward any messages that may result in negative, punitive actions toward the employee by bosses. The employee will tend to suppress or slow down messages that have the potential to make the boss unhappy. The employee will be tempted to distort or rearrange negative information about self to reduce the probability of receiving a negative response from a supervisor.[16] As Gemmill states, "A subordinate who believes that disclosure of feelings, opinions, or difficulties may lead a superior to block or hinder attainment of a personal goal will conceal or distort the message."[17]
2. The employee who feels a boss is autocratic, unsympathetic, and task oriented will develop distrust for that supervisor, which may cause the employee to withhold useful information. The more trust and confidence the employee has in the supervisor, the more likely that messages will be given to the boss freely and openly.
3. The employee who feels unimportant or feels that the job and information being sent is not vital will be unlikely to communicate messages to a supervisor. A direct relationship appears to exist between feelings of importance and responsibility and willingness to communicate upward.
4. Employees keep their boss better informed when they know what will be done with their work, when they share common references with their supervisor, and when the supervisor is readily available to them.[18]

5. The employee's perception of the boss's attitude toward the employee (the amount of interest the boss has in the employee) and the open-mindedness of the boss will affect upward communication. If the manager regularly shows a desire for messages from employees, practices an open-door policy, and provides feedback on information received, upward communication will be enhanced.[19]

The implications of these conditions are clear for the supervisor who needs and wants upward communication.

1. The supervisor must make known the need for messages from employees and his or her personal interest in hearing from them.
2. The supervisor needs to reward employees for their upward communication efforts whenever possible. Rewards don't have to be financial; an adequate reward may be sincere thanks and an expression of appreciation for the worker's efforts at communication.
3. The supervisor should cultivate a relationship of mutual understanding with employees. The key here is getting to know the employees as individuals; by gaining the trust and respect of workers, the supervisor can encourage more open, complete communication.
4. Managers should emphasize to employees the positive as well as the negative uses made of their messages.
5. Supervisors should delegate authority and encourage employees to feel responsible for specific actions. The importance of upward communication will normally be felt under such conditions.
6. If upward communication is still below desired levels, it may be necessary to take other steps to gain needed information. Formal questionnaires, reports, and other information sources may be called for.

The proper climate for upward communication (or a communication in any direction) to occur is supportive, promotes equality, is descriptive, is spontaneous, is problem oriented, is provisional (adaptive), and is empathetic. This means that to be truly successful in achieving open communication, the manager bears a responsibility for promoting the courage, trust, and willingness to communicate that will encourage employees to send and receive messages freely.

As we think about downward and upward communication, let's consider a specific type of communication known as counseling. Counseling is a concentrated form of interpersonal communication in which an interchange of ideas takes place among the parties involved (the counselors and those being counseled). Often a problem requires the attention of those involved. In some situations, a form of downward communication is appropriate; at other times, upward communication is more effective.

TWO COUNSELING TECHNIQUES

Although many counseling approaches are available, the two most discussed techniques are very different indeed. They are known as directive and nondirective counseling.

Directive Counseling

Directive counseling is a structured interaction controlled and led by the counselor. If the purpose of the counseling is corrective or remedial in nature, the counselor pointedly asks (or tells) the counselee what the problem is, asks (or tells) the counselee what the alternatives are, and asks (or tells) the counselee the course of action to be taken for improvement. If the counseling session is for developmental purposes, the counselor leads (again through asking or telling) the counselee toward what the goals are or should be, leads in the analysis of the capabilities of the individual to develop those skills, and charts a course of action. If the counseling purpose is therapeutic, the counselor guides in the diagnosis of weaknesses and the prescription of solutions. If the purpose is to provide information to or gather information from the counselee, straightforward communication results in the inclusion of little superfluous material.

Directive counseling may include a large amount of advice giving, admonishment, exhortation (motivational pep talks on how and why the counselee should improve or change behavior), explanation, and reassurance (the giving of encouragement).[20]

Directive counseling is counselor centered to a large degree. It is the counselor who activates and controls the thought processes of the interaction. If the counselor is unusually skillful, it may be possible to draw the counselee into the discussion, but seldom does the counselee become wholeheartedly involved in seeking solutions or development. Counseling that is too direct and too forceful may tend to strangle involvement and may push the counselee into a defensive, protective position.

These comments should not be taken as a complete rejection of the use of directive counseling in every situation, because sometimes forceful leadership is required to compel individuals to think and act. Sometimes individuals (counselees) are incapable of discovering problems, objectives, and courses of action on their own. Some counselees respond better to a more directive approach. Also, in some situations time permits the use of only direct, to-the-point counseling. The directive technique may be the answer to such needs.

Directive counseling may be the only technique that supervisors who tend toward an authoritative leadership style will adopt. Nondirective techniques may be out of character for such supervisors and may result in role inconsistencies. Bosses who are oriented toward participative or free-rein

management may prefer the nondirective approach. Even for these managers, however, there will be times when it is necessary to be more directive.

The authors vividly recall one instance involving Edward. Edward was undoubtedly bright. He was well trained; he had done well in school and had been out of school for over five years. He had begun his career with a large government agency on the East Coast. His work record was excellent; when he decided to move to Houston, he was promptly granted a transfer to the agency's office there. It was there that the problems began.

As Edward's new boss (the agency manager in Houston) told us, Edward ran into problems almost immediately. Edward's work required careful analysis of records furnished by the companies that came under the agency's jurisdiction. Unfortunately, Edward wasn't thorough. It looked like he often took the easiest approach rather than devoting the time and attention that the cases required. In addition, Edward had the habit of talking rather than listening. When his boss would ask why he had taken a particular approach to a case, Edward would respond with a whole battery of excuses.

"I've never been so frustrated," Edward's boss told us. "I'm committed to working *with* employees and helping them solve their problems. But that approach simply wasn't working with Edward. Every time I tried to get him to talk about his performance, he would give me a list of excuses—reasons, he called them—and end by saying, 'That's not how we did it in my old office.' I knew I'd have to change tactics."

"What did you do?" we asked.

"Well," responded the manager. "I took a directive approach. I walked Edward through the procedures as *we* do them *here.* Then I discussed, as objectively as I could, what I saw to be his deficiencies when compared to the standards of our office. Finally, I told Edward I expected his cooperation in meeting those standards if he intended to keep working for the agency here."

"What happened?" we asked.

"It was amazing," responded the manager. "Edward came right around. He said he'd just never realized the difference in expectations—though I still don't see how he could have missed that. In any case, he assured me I'd see a difference right away. And I'm delighted to say that I have; he's turning into a fine employee."

Why would a directive approach work so well with Edward? It's hard to say. People really are different, and managers need to use flexibility in searching for the counseling style best suited for each individual.

Nondirective Counseling

An alternative approach is the nondirective approach. Nondirective counseling is counselee centered. When this technique is used, the counselor plays a supportive role. The counselor is present primarily to listen and to help the counselee verbalize thoughts. The counselee is encouraged to act

as leader in the counseling discussion so that it will fit the counselee's needs and personal ideas. The counselor adopts the philosophy that the counselee is responsible for self, is capable of solving personal problems, wants to be understood, is an important human being, and has feelings that deserve to be respected.

In the pure form of nondirective counseling, the counselor does not diagnose the employee's problems, offer solutions to the employee's problems, or give advice.[21] In the role of supportive listener, the counselor reflects the counselee's thoughts back, attempts to enhance perspective, and helps to explore thoughts that may not have been previously considered. Although nondirective counseling is not closely structured, the counselor would like to help the counselee do the following:

1. Identify current features—the problems, attitudes, and capabilities of the counselee.
2. Determine what is to be achieved through counseling—what are the objectives or goals of counseling.
3. Discover specific actions to achieve those objectives or solutions.

By most accounts, nondirective counseling began accidentally. At the Hawthorne, Illinois, plant of Western Electric, where the famed Hawthorne studies took place, researchers were extremely interested in finding out more from workers about their motivations and feelings. The direct approach was being used, but without the desired results. The procedure was then relaxed, and employees were allowed to talk about whatever they wanted instead of being asked specific, predetermined questions. Answers became more revealing as more personal data were provided. The technique of nondirective counseling then became the standard method for communicating with employees in many organizations.[22]

The counselor using the nondirective technique helps the counselee in a number of ways. Before the counseling begins, the counselor tries to arrange environmental and personal conditions so that they will facilitate the counseling interaction. The counselor tries to provide an interruption-free place, the necessary time, and mental preparedness so that support and assistance can be given to the counselee.

The nondirective interview basically has three parts: an initiation phase, an exploration or development phase, and a closing phase. In the initiation phase, the counselor's role is mostly one of trying to help the counselee feel at ease and establish rapport so that a good discussion can occur. Together the counselor and counselee briefly explore their previous relationship and their mutual interests. The counselor wants the counselee to know that the counselor cares about and is interested in the counselee's growth and welfare. The early stages of nondirective counseling may involve encouraging

the counselee to get feelings and emotions out in the open. Once this is done, it seems easier to progress to facts and solutions. In fact, one type of therapy is designed to sort out emotions and rational thoughts.[23] If the counselee has initiated the interaction, the initiation phase may be extremely brief because the appropriate desire is already there.

Good Listening Skills

Active listening needs to be exercised by the counselor. Active listening is not "passive absorption of words," but actively trying to grasp feelings and facts in such a way that the speaker can be helped to work out personal problems.[24] Active listening involves listening for total meaning, response to feelings, and the noting of all cues, such as facial expressions and body posture.

It is possible to develop good listening skills with training and practice. Here are some helpful suggestions that welcome messages from another individual:

1. Maintain eye contact with the speaker.
2. Use an open body stance, including leaning forward, which indicates an interest in what is being said.
3. Acknowledge the individual's presence promptly with a warm smile or nod of the head.
4. Avoid facial expressions that indicate anger, displeasure, or hurriedness.
5. If in an open area, walk toward the speaker to indicate interest.
6. Avoid long periods of silence that may leave the impression that you're not listening.
7. Be aware of gestures or other nonverbal cues that may send negative signals (e.g., finger tapping, rolling of the eyes, shrugging shoulders, and jingling change).[25]

The counselor cannot fulfill the role of a good listener, of course, unless the counselee is saying something. If the employee is not talking, the counselor may extend an interested invitation to talk about whatever is on his or her mind. This can be done in the form of a soft question: "After working here for six months, how do you feel about your job?" "What thoughts do you have about the new work routine?" "You mentioned some concerns you had about your future when we talked last month. What are your thoughts about the future?" These questions indicate that the counselor has an interest in the counselee, and they open the door to bring thoughts out into the open (see the Personal Feedback exercise).

Probes

Probes are slightly more direct questions used to stimulate discussion and obtain more information: "I'd like to know more about your thinking on this subject." "What did you have in mind when you said that?" "Is there anything else that might be affecting this situation?" The counselor must be careful to word probes so that they are not too pointed, do not put the employee on the defensive, and do not reveal any biases on the counselor's part. Probes serve to motivate the counselee to communicate more fully so that the counselee expands on, clarifies, or explains reasons behind what has previously been said.[26] Probes also invite attention to areas not previously identified or explored.

Restatement

Another extremely effective technique for encouraging the further revelation of ideas is the restatement by the counselor of points already made by the counselee in an attempt to encourage in-depth consideration of these thoughts. As Benjamin states, the restatement tells the counselee:

> I am listening to you very carefully, in fact, so that I can restate what you have said. I am doing so now because it may help you to hear yourself through me. I am restating what you have said so that you may absorb it and consider its impact, if any, on you. For the time being, I am keeping myself out of it.[27]

If an employee tells his boss, "I can hardly wait until I get old enough to retire—this job has gotten to be a regular monster," the boss as a counselor might use restatement by saying, "You say your job has gotten to be a monster?" When a worker tells her supervisor, "I don't feel this job utilizes my abilities and knowledge fully," the boss could reflectively restate, "Your job doesn't utilize your abilities and knowledge fully?" Usually, the boss pauses to allow the worker to think about the restatement and to encourage the worker to elaborate, which usually provides the necessary amount of encouragement to bring important ideas to the surface.

PERSONAL FEEDBACK
Exercise in the Use of Restatement
As a Means of Accomplishing Nondirective Counseling

Restatement has been identified as one of the more effective ways of encouraging counselees to talk further about things they want to say. In the following illustrations, which one of the responses is the best example of the restatement concept? What is wrong with each of the other responses? Be specific.

1. Jason McCall stops in the office of Bill Snowden, the coach of the school basketball team, with a complaint. Jason, a forward on the team, tells Coach Snowden:

> "I just don't know what to do. The fellows on the team just don't accept me as an equal member. Instead of passing the ball to me, they look for someone else. Instead of talking to me, they only talk among themselves. I'm thinking of quitting."

Coach Snowden responds by saying:

    a. "Just don't pay any attention to them. You're new here. It takes time to be accepted by others."
    b. "Why do you think they don't like you?"
    c. "Maybe if you get a different haircut they will like you better."
    d. "You say you feel they don't accept you?"
    e. "I want you to ignore what others do and just do your best."

2. Jill Stanwick, product manager for a new line of merchandise with a large distribution firm, tells her boss:

> "You've got to give me more authority so that I can carry out my job in a better way. The people in my project group look to you instead of me as their superior. I keep telling them to do things, and they tell me that they have to talk to you before they can do anything. I find it very frustrating to be bypassed in this way."

Her boss responds by saying:

    a. "You go out there and tell them to pay attention to your directions or else."
    b. "I'll have a talk with them and see what we can work out."
    c. "You say you are very frustrated?"
    d. "If you were older than the people you are supervising, you wouldn't be having this problem."
    e. "No job's perfect, is it?"

In situation number one, the restatement answer is **d,** "You say you feel they don't accept you?" In situation number two, the restatement is **c,** "You say you are very frustrated?"

Closing the Session

If ideas have been explored fully, the counselee has identified the problem or goals, all angles have been considered, and solutions have been discerned or conclusions reached to the mutual satisfaction of the counselee and the counselor, the counselor can help the counselee to close the immediate conversation gracefully. There is no established formula for winding down a counseling session. The counselor should attempt to keep the relationship an easy, open one. If a concluding summarization of facts and resolutions is appropriate, the counselor can see that this is accomplished. For

example, toward the end of a session, the boss might begin by saying to Linda, the employee, "You've made several important points in our discussion this afternoon, Linda. As I understand it, here's how you feel. . . ." The boss will often promise interest in the counselee's progress and emphasize a desire to give continuing support and assistance.

THE GRAPEVINE AND ITS PROBLEMS

Chapter 5 discussed the informal communication network (the grapevine) and identified several of its effects. As pointed out, the grapevine can make many positive contributions to the organization because it does tend to convey messages rapidly, and it often accurately supplements the workings of formal communication channels. Grapevine communication can flow in three directions (up, down, and sideways) within the organization, but its pattern is normally more unpredictable than is the formal pattern. Much of the flow of messages is uncontrollable by the formal authority structure.

Grapevines tend to act rapidly and selectively (refer to Chapter 5). This means that some people get grapevine information while others do not. Superiors and subordinates alike may discover that they are being left out of the informal network, often to their own personal disadvantage. Grapevines, therefore, cannot be depended upon to disseminate messages faithfully throughout the organization in the place of formal communiqués.

The messages spread by the grapevine may be in support of the formal organization and its goals, or the messages may be antagonistic. Many variables determine whether the messages of the grapevine will support or work against the formal organization. As usual, much responsibility rests with the manager. There are several questions the manager may want to consider as a part of "grapevine management."

The manager might ask, "Am I included in grapevine information, or am I being completely bypassed?" This question is significant because it is, in part, a gauge of the confidence and acceptability of the manager in the eyes of superiors, subordinates, and peers. A manager who discovers that isolation exists will need to work toward gaining the respect and confidence of others so that important messages can be received. No manager, of course, will be able to overcome completely the authority barrier of being a supervisor. However, supervisors who talk with individuals about matters other than official business can cultivate the grapevine more effectively and can be included in grapevine communications more frequently.

Another question a manager might ask is, "Are individuals who need information being left out of the grapevine without their knowledge?" Where the answer to this question is yes (and it often is), formally appointed supervisors will need to issue messages of significant importance in ways that will reach the parties needing the information. In other words, important

messages should be issued formally, monitored to see that they reach all appropriate individuals, or both.

A third question could be, "Is the information that is being spread accurate?" Because the answer is normally yes, there typically may be no cause for concern. However, to avoid the danger of inaccuracies and to counter false rumors, several actions may be necessary. If managers decide to utilize informal networks to spread information, messages should be given to individuals who have the respect and confidence of both the sender and the prospective receivers. Messages should be given to several respected messengers throughout the grapevine so that distortion will be less likely to occur. When false rumors are spread, formal networks should immediately send out the correct information with the appropriate supporting evidence. Sources of incorrect information should be traced, and individuals sending such information should be asked to take part in the correctional process. When false rumors tend to occur frequently, managers may need to consider whether they are giving out enough meaningful information to all individuals who need the messages. Because people tend to spread rumors about things of personal concern, rumors may indicate specific informational needs that are not being met.

Another question could be, "Is the grapevine typically supportive of or antagonistic toward the formal organization?" The answer to this question may be a revelation of the general feelings and sentiments of informal organizations toward the formal organization. If grapevines normally remain on a positive plane, formal organization-informal organization relations are usually good. If the informal grapevine continually acts in a manner derogatory to the formal, relationships between the two need careful attention.

Formal managers should never expect to control completely the workings of informal grapevines, but they can learn to sense the activities and effects of grapevines. Managers can learn when additional formal actions and personal efforts are needed to make formal and informal relationships mutually beneficial. They can then identify trouble spots and take corrective action more quickly.

TELLING IT LIKE IT IS— ASSERTIVENESS

In listing ideal communication conditions and circumstances, several factors are notable. Effective communication calls for very open, honest, forthright interactions between organizational members. Upward communication must be accurate. Managers must know the problems of employees. Communication must be done for the benefit of everyone. Information that is *needed* must be communicated, rather than only information that is *wanted.* Areas where disagreement exists must be identified and addressed.

Communication that accomplishes these goals requires cultivation and effort. In recent years, this open, complete type of communication has come to be known as assertiveness.

One definition of assertiveness states that it "involves standing up for the personal rights and expressing thoughts, feelings, and beliefs, in direct, honest, and appropriate ways which do not violate another person's rights."[28] There are two kinds of respect involved in assertiveness—respect for self and respect for others. Assertiveness is not selfishness, nor does it result in complete deference to others. It is simply communicating those things that need to be communicated to the people who need the information for the benefit of everyone. As Lange and Jakubowski have said, "The goal of assertion is communication and mutuality; that is to get and give respect, to ask for fair play, and to leave room for compromise when the needs and rights of two people conflict."[29] Or as Dawley and Wenrich state, "The intention of assertiveness is to result in decreased anxiety and hostility; increased interpersonal understanding; the ability to establish close and meaningful relationships; and the skill to improve overall quality of social interaction and personal esteem."[30]

Behaviors that are alternatives to assertiveness are nonassertiveness (passive behavior) and aggressiveness. Nonassertiveness is allowing rights to be infringed upon (either one's own rights or the rights of others). It doesn't adapt well and is self-denying. Nonassertiveness generates anxiety and negative feelings about self and others, and it leads to strained relations.

Aggressiveness, on the other hand, does involve directly standing up for one's personal rights, but it is coupled with expressing thoughts in ways that are often dishonest and usually inappropriate or in ways that violate the rights of other people. Aggressiveness usually involves the display of hostile, offensive behavior against others without regard for their rights.

When a group working together to make a decision, for example, gets off the subject and strays into unrelated areas, an aggressive boss might say, "As usual, you people are goofing off again." A passive boss might say, "I'm sorry; I must have let us get off track. I just don't know what to do." The assertive boss, on the other hand, might say, "What we are talking about is interesting; however, I feel we need to get back to the original subject."

Although some individuals seem to develop a wholesome assertiveness fairly naturally and without much effort, training and practice are necessary for most people. The training process for developing assertiveness includes several aspects:

1. Developing an understanding of what assertiveness is and what it can help accomplish. At the same time, nonassertiveness and aggressiveness are identified.
2. Learning to identify comments and behaviors that represent each of the three types of communication. This is usually done by reading or

viewing statements made by others and then analyzing which type of behavior each one represents.

3. Acting out each of the three types of behavior through role-playing and modeling.
4. Using assertive behavior as a response to different situations in a rehearsal, behavior modeling, or coaching technique, in which the learner acts out responses assertively, models the behavior using assertiveness, and receives coaching and feedback. The procedures learned often include (a) learning how to give and receive compliments, (b) learning how to say no, (c) learning how to identify the rights of self and others, (d) learning how to make and refuse requests, and (e) dealing with persistent people.
5. Receiving reinforcement for modeling assertive behavior. Some of the reinforcement may come from the trainer or other organizational representatives. Some of the reinforcement is self-rewarding when performance is recognized to be consistent with assertive models.
6. Continuing to practice and apply assertiveness until it becomes a habit.

Through the development and application of assertiveness, many of the ideals of communication become achievable. To determine your existing level of assertiveness, take the Personal Feedback Assertiveness Inventory and see if you need to give further attention to your own skills.

PERSONAL FEEDBACK
Assertiveness Inventory

The following questions will help you to have some insight into your level of assertiveness. Indicate with each question whether you believe your response would be *yes, maybe,* or *no.*

	Yes	Maybe	No
1. If your professor miscalculates the total points on a test you have taken so that you are given a grade with fewer points than is correct, do you call it to your professor's attention?	____	____	____
2. If you subscribe to a local newspaper and it is not delivered to you one morning, do you call and ask that a paper be delivered to you?	____	____	____
3. If you think a friend's supervisor has disciplined the friend unfairly, would you write a letter to that supervisor telling him or her you think the action was unfair?	____	____	____
4. If you think a newspaper's editorial about a local issue is incorrect, would you write a letter to the editor stating your position?	____	____	____

	Yes	Maybe	No

5. If you observe an accident involving two cars and you believe one of the cars ran a red light, would you wait until police officers arrive so that you can tell them what you saw? ـــــ ـــــ ـــــ

6. If you are being considered for a promotion at work, do you seek out those who will make the promotion decision and talk with them about why you should receive the promotion? ـــــ ـــــ ـــــ

7. If you have a child playing a sport and you think the child's coach is being grossly unfair to your child by not allowing the child to play, would you express your feelings to the coach? ـــــ ـــــ ـــــ

8. If you have a sibling (brother or sister) who is taking unfair advantage of one of your parents, do you tell the sibling you believe he or she is doing the wrong thing? ـــــ ـــــ ـــــ

9. If an old friend receives a reward for outstanding service to the community, do you write a letter or call the friend and extend your congratulations? ـــــ ـــــ ـــــ

10. If the boss asks you to prepare a report and submit it by noon tomorrow and you believe meeting such a tight deadline is impossible, do you tell your boss that the request is unreasonable? ـــــ ـــــ ـــــ

11. If you are eating at a restaurant and some of your food has been improperly prepared, do you let your server know about this? ـــــ ـــــ ـــــ

12. If you are a supervisor and you make a mistake that causes a problem for an employee, do you admit to making the mistake? ـــــ ـــــ ـــــ

13. Do you allow others to provide input when you are involved in a group decision-making situation? ـــــ ـــــ ـــــ

14. If you see people smoking in a no-smoking area, do you call this to their attention and ask them to stop? ـــــ ـــــ ـــــ

15. Do you find yourself frequently debating issues with others about what is right and what is wrong in a situation? ـــــ ـــــ ـــــ

Finding Your Score

For every yes answer you checked, give yourself	2 points	_____
For every maybe answer you checked, give yourself	1 point	_____
For every no answer you checked, give yourself	0 points	_____
	Total points	_____

Now add the column to discover your total points.

If your score is 25 or above you see yourself as being *very assertive.*
If your score is 18 to 24, you see yourself as being *somewhat assertive.*
If your score is 8 to 17, you see yourself as having a *little assertiveness.*
If your score is 7 or less, you see yourself as having *no basic assertiveness,*

This test is designed to be thought-provoking and insightful. The test is nonvalidated.

ADDITIONAL COMMUNICATION PROBLEMS

We have talked about the communication process as well as the most common communication problems and offered some suggestions for dealing with them. However, communication problems not specifically identified previously may arise as a result of such factors as differences in perceptions, physical distances, and psychological and emotional barriers. A problem-solving approach is essential in the handling of each problem as it arises. Specific underlying causes must be identified, alternative solutions considered, decisions made on courses of action, solutions implemented, and follow-up analyses conducted to determine continuing communication needs.

As a result of position and responsibilities, the manager-supervisor is primarily responsible for the successful resolution of communication problems and the proper activity of communication networks. This does not mean that other parties may be excused from concern about communication exchange, but it does establish the ultimate responsibility for effective communication in the workplace.

SUMMARY

Communication is the exchange of ideas or concepts for purposes of information, command and instruction, influence and persuasion, or integration. Without some type of communication, no organization will exist long. Without accurate, meaningful communication, no organization will be successful.

Managers bear a heavy responsibility for the creation of a proper environment for communicating and for establishing and maintaining the necessary organizational communication channels. Senders and receivers both bear a responsibility for the successful interpretation and understanding of messages communicated. For one thing, the sender must choose the correct medium through which messages will be sent. Some messages are sent directly and personally to other individuals (through a rich medium); some messages can be sent impersonally to a large group of people (through a lean medium).

The communication process itself involves several stages in addition to choosing the right medium. The receiver's need for and knowledge of the message must be considered. Messages must be placed in the proper code. Messages must be transferred properly, and symbols must be interpreted. Action or reaction occurs, and feedback is given. This process repeats itself as new messages are needed.

Some idealistic goals for communicating within organizations have been established by Likert in his System 4 concept, but these perfected targets are difficult to achieve. Many problems stand in the way of ideal communica-

tion, such as problems of message interpretation, filtering out messages needing to be heard, and message distortion; problems with improper timing of messages, actions inconsistent with messages sent; and perceptual problems, to name a few.

We know several management steps that help to convey messages appropriately. We also recognize the importance of establishing the right conditions in which communication takes place. Organizational communication works best when messages mesh three ways—upward, downward, and across an organization. Upward communication is difficult to achieve most of the time and requires special attention to accomplish. Message sending that is rewarded will probably be repeated. When the need for information is known, messages are more likely to be sent upward, also. A number of steps exist that usually are helpful in stimulating upward communication.

Counseling is a specific form of communication used primarily but not exclusively with problem solving. Directive counseling results in downward communication primarily and is important for instruction and coordination. If nondirective counseling accomplishes its purposes, upward communication is the result. This technique is especially important for fact finding, creativity, and achieving commitment. Listening skills are especially important when nondirective counseling is used.

Assertiveness is an important part of the communication process. Assertiveness is speaking or acting in a way that benefits everyone in the long run. This includes standing up for the personal rights of self and others.

Formal communication networks are not the only communication taking place in an organization. There is also a communication grapevine functioning within the organization. The grapevine supplements the formal network, often getting information more quickly to people and places than the formal channels.

QUESTIONS TO CONSIDER

1. The comment was made that employees desire large amounts of information about their organization, economic and competitive influences that affect their employer, and a host of additional information. Do you think this statement reflects the interests of the majority of today's workers? Why or why not?
2. How does the upward flow of communications help to achieve the integrative function of communication?
3. Is the sender more responsible for the successful exchange of an idea through the communication process than the receiver? Explain your answer in detail.
4. Someone has said that words have no meanings in themselves. How do you interpret this statement?

5. In most organizations, downward communications are given more attention and emphasis than are upward communications. If this trend continues to be true over a long period of time in one specific organization, what will the effect be? Why are downward communications usually handled more effectively than upward communications?
6. Why do most experts recommend nondirective counseling more frequently than directive counseling?
7. What are the biggest difficulties in using nondirective counseling?
8. How can managers (and all communicators) become better listeners?
9. Anxiety and other personal factors can be barriers to effective communication. What can the concerned manager do to overcome these problems?
10. What communication barriers do large organizations have that are less of a problem with smaller organizations? Why?

CHAPTER CASE:
TERRY THE DISPATCHER

This is a case that can be role-played effectively. You are Terry Cleburne, and you are a dispatcher in the shipping department of a large supply house. It is annual performance appraisal time, and your boss wants to see you. You're pretty sure that it's about the appraisal. You have mixed feelings about how this session will turn out. There are some positive things—you generally like the job and respect your boss. You consider your boss to know the job well and believe that your boss is basically a fair, reasonable person.

There are some things that worry you, however. For one thing, you have had some difficulties and disagreements with the people in the repair department. Your boss has talked to you several times about improving your relations with them. You have tried, to some extent at least, to get straightened out with the repair people, but things really haven't gone well. You feel that the repair employees are a bunch of show-offs who have no respect for dispatch personnel. The repair people act like spoiled children whenever things don't go their way. You wish your boss would support you and go to the supervisor of repairs to try to iron things out, but your boss doesn't seen interested in doing that at all. Instead, your boss has asked you to do it yourself. Lately, you've decided that the only thing to do is to show the people in the repair department indirectly that they can't get away with bullying you. You're just polite enough to them that they can't complain. To get back at them, you try to do little things like assigning them long driving times.

You are also concerned that home problems are affecting your work. Your teenage daughter has been running around with a wild crowd and has had some scrapes with the law. Now, worse yet, you suspect that drugs may be involved. When all of this weighs on your mind, you sometimes feel that

you've lost all ability to concentrate. You also get irritable, which adds to the problem with the repair people. Your boss has seemed concerned and has tried to draw you out several times in the past, but you haven't opened up—partly because you're embarrassed and partly because you feel as an adult that you should solve your problems on your own. You have decided that if your boss seems sincerely concerned, you will open up.

Case Questions

1. What information needs to be communicated through this appraisal and review?
2. How could Terry get his boss to listen to what he needs to hear?
3. Role-play the counseling session (performance appraisal) that might have occurred between Terry and his boss. Let's let the boss lead off.
4. Would directive or nondirective counseling be the appropriate managerial style to use? Why?
5. What preparations would be needed before directive counseling could be used? Before nondirective counseling could be used?
6. As Terry's boss, how would you go about getting Terry to talk if you used the nondirective way? Show the pattern this approach would follow.
7. Do the same for the directive approach. What would you say and do?

GLOSSARY

active listening: Making a concentrated effort to hear what the communicator is attempting to convey rather than passively absorbing the message, seeking the purpose and intent of someone else's messages.

aggressiveness: Directly standing up for one's own rights at the expense of others' rights.

assertiveness: Communication in which the rights of self and others are respected. As a result, communication is honest and forthright.

command and instruction function: A function of communication that makes an employee aware of his or her obligation to the organization.

communication: The transfer of a mental concept from the brain of one person to the brain of another.

complementary transaction: An exchange between two individuals in which both parties are correctly aware of the personality parts doing the communicating.

crossed transaction: An exchange between two individuals in which the parties involved incorrectly determine the personality part doing the sending, the receiving, or both.

decoding: The process by which the receiver of a message takes the symbols communicated and gives meaning to them.

directive counseling: A structured communicative interaction in which the counselor leads in the identification of problems, alternatives, and solutions by asking questions and giving answers.

encoding: The process in which the sender of a message selects symbols to communicate to the receiver so that a message will be interpreted correctly.

filtering: The action of a receiver in which the receiver hears only what the receiver wishes to hear.

influence and persuasion function: One of the purposes of communication primarily known as motivation, used to encourage individuals to perform or behave in specific ways.

information function: One of the purposes of communication which provides knowledge to individuals, including data concerning jobs, the organization, and other related materials.

innovation function: The purpose of communication intending to help the organization and its members to adapt to internal and external influences as they occur.

integrative function: The purpose of communication used to relate the activities of workers so that they complement rather than detract from one another.

nonassertiveness (passive behavior): Communication in which the rights of self or others are infringed upon. Passive behavior tends to be self-denying. Inactivity rather than activity tends to occur.

nondirective counseling: Communication between counselor and counselee in which the counselor listens to and encourages the counselee to identify problems, alternatives, and solutions. The role of the counselor is supportive rather than dominating.

probe: An effort to get the counselee to talk about problems, alternatives, and solutions that seeks to be stimulating without being too demanding.

restatement: A technique used by the counselor to get the counselee to talk more by repeating what the counselee has just said.

receiver: The person in the organization who takes in a message issued by the sender in the communication process.

sender: The person in an organization who begins the communication process by issuing symbols with meaning.

ulterior transaction: An exchange between two individuals in which one or both parties deliberately hide personality parts when sending and receiving a message.

Chapter 14

Planned and Unplanned Change and Organizational Development

OBJECTIVES

- To review the reasons change occurs in an organization
- To recognize the impact change has upon employees
- To analyze the reasons change is frequently resisted by employees
- To concentrate on management goals where change is called for
- To identify the kinds of leadership needed during change
- To learn how to get acceptance of change
- To study the process for bringing about planned change through Organizational Development
- To recognize the potential that Organizational Development has for organizations and individuals

A CASE TO CONSIDER:
MORE OVERTIME FOR CHARLIE TRIKOWSKY

Charlie Trikowsky is a machine operator for Try Right Lighting, a company that manufactures headlights for the big-three American automobile makers. The company he works for was formerly owned by one of the big-three but was divested by its owner and sold to an independent corporation about three years ago. At the time of the sale to Try Right, there were about 600 employees working three eight-hour shifts, five days a week. During periods when business was particularly good, employees were required to work overtime for one and one-half times their regular pay. Overtime was infrequent, however, averaging only about six hours per month for Charlie.

Competition is strong in this industry. More and more of the companies in the industry are shifting their work to plants in other countries where labor is less expensive. Robots and other new technologies are also being employed by some companies to increase efficiency and volume of performance. Charlie's employer has chosen to downsize the plant where Charlie works as their

method of being competitive. One of the three shifts has been eliminated and about 150 (25 percent) of the employees have been laid off or dismissed.

Charlie is happy to be one of the survivors of the downsizing at Try Right. The decision to downsize used seniority as the basis for determining who would stay and who would be released. Charlie's twelve years of employment protected him from the cut.

As a result of the downsizing and layoffs, remaining employees have been pressured to achieve more in their standard eight-hour shifts. The two regular shifts' production thus far have been insufficient to meet the demands of customers. Charlie finds that he is working about fifteen hours a week more than he did before Try Right downsized and removed one shift.

Charlie likes the additional income he earns weekly, but he is finding the pressures for higher levels of performance and the additional overtime hours to be very stressful. At times, Charlie's work has been less efficient with more mistakes in the production process since the downsizing. The thing that Charlie dislikes the most, however, is the way overtime cuts into his personal life. Charlie has three young children, and he finds himself unable to do what he wants with family members. He has had to give up his Little League coaching job, and he gets to go fishing only about once a month now. In short, his work life and his family life no longer hold the satisfaction they once did.

Case Questions

1. What were the pressures and causese that led to the downsizing at Try Right?
2. When Charlie and other employees first heard of the downsizing plans at Try Right, what do you suppose their reactions were? What fears may they have had?
3. What are the usual feelings of employees who survive the cuts in downsizing and maintain their employment with a firm?
4. What factors have proven themselves to be unsatisfactory to Charlie (and probably to other remaining employees as well)?
5. What could the managers at Try Right have done to get better acceptance of the changes they were making?
6. What solutions and suggestions do you have for the managers at Try Right? What suggestions do you have for Charlie?

* * *

When change occurs in an organization, it simply means that something is different from the way it once was. Change usually implies that authority relationships, communication procedures, responsibilities, or employee behaviors must be revised. Not every change requires significant adjustments by employees; change is a daily event in most work climates. To illustrate

the frequency and variety of changes that occur in work groups, consider the following situations:

- Employee A is asked to cooperate with a newly formed decision-making team instead of acting independently in making decisions about the future of a specific product.
- Employee B (who is a supervisor) is asked to try a new method of counseling with department members in an attempt to improve organization communications.
- Employee C is instructed to accept a new job description that requires an increase in responsibilities and an increase in the rate of daily performance.
- Employees D and E are told that beginning the following week, they are being transferred to a new department.
- Employees F, G, and I are informed that their present boss is being transferred and a new supervisor is being brought in.
- The employees of a small branch store are informed that their store is being consolidated with the main store and that all personnel will be transferred to the larger store.

Each of the preceding changes requires adjustments and modifications in habits, procedures, and working relationships. Look back, for example, at the Charlie Trikowsky case. Which of the aforementioned employee situations can be applied to Charlie's case? As the examples illustrate, the types of organizational changes that may occur are numerous. Furthermore, as the example also illustrates, change comes in many sizes and shapes. It can range from major, overall organizational change, possibly affecting every department and job in an organization, to smaller changes that may affect only an individual job. No matter what the magnitude of change, it is important to understand the change process and how to deal with change.

INTERNAL CHANGE

The intentions of planned change are usually positive. Planned change has its beginnings within the organization and involves changes for the purpose of achieving previously unattainable things or achieving goals more effectively, more efficiently, or more satisfactorily. Planned change involves deliberate steps being taken at the initiative of the organization itself. Change can be used as a response to overcome existing problems. It has been suggested, for example, that managers should promote changes when necessary to improve the means for satisfying somebody's economic wants, to increase profitability, or to contribute to individual satisfaction and social well-being.

If change is planned within the context of these purposes, customers, stockholders, employees, and the public at large potentially may benefit from the results of change. All groups may benefit simultaneously. There are times, however, when change may appear to benefit one group at the expense of another.

EXTERNAL CHANGE

There are also times when change is called for as a result of factors external to the organization. Such changes may result from economic, technological, legal, or social factors. These factors often result in unplanned change—change which was not predicted and, therefore, was not planned for. Some external events and conditions, of course, are planned for.

The Economy and Its Effects

Consider the impact upon organizations and the people in them when one or more of the following occurs:

1. The Federal Reserve System increases interest rates one-half of 1 percent.
2. A major oil producing country cuts its exports by 10 percent.
3. A major competitor's union goes on strike, making its products or services unavailable.
4. A supplier limits its sales to retail firms who buy in lots of $50,000 or more, thus shutting out all small businesses.
5. A severe freeze occurs in Florida or California, seriously reducing the supply of fruits and vegetables.

Think of the consequences of these occurrences. As a result of economic conditions resulting from situations and events such as these, jobs are created or eliminated. New employees are hired or older employees are laid off. Organizations downsize or organizations merge. Resources are depleted or surpluses are created. Employees work fewer hours or individuals are required to work overtime beyond their wishes.

Several economic factors are involved in the Charlie Trikowsky case. Divestitures, downsizings, competitors' actions, less expensive labor, and probably several other conditions cause Charlie and his co-workers to stay longer daily, work on weekends, push for higher productivity, and become overstressed. In Charlie's situation, he's working more but enjoying it less. As one set of authors has said, if the quality of either one's life or one's work life is poor, money doesn't have much appeal for employees.[1]

Notice that, in Charlie's case, change causes pressures and dissatisfactions for Charlie, his family, his co-workers, and even his bosses. Change can have a sweeping, far-ranging effect.

What About Technology?

Now think of some of the technological developments of the past and the effects they have had on the workplace. Think of the invention of the wheel and the axle. Recall the steam engine and the cotton gin. Consider the harnessing of electricity and the development of the internal combustion engine.

In more recent days, the development of computers has impacted the workplace in very significant ways. Computers can design, monitor, and control work processes in an almost unlimited way. Computers have been installed in robots, which have replaced the human laborer in numerous places. Communication is rapid and instantaneous on almost a worldwide basis.

Technology has created jobs, eliminated jobs, altered necessary skills, reorganized social patterns, and changed the nature of socializing the workplace. Technology has created, changed, or made obsolete products, processes, procedures, and human resource requirements. The changes in Charlie's workplace have no doubt been influenced by technology.

Legal Changes Cause Organization Change

Is there any doubt that federal, state, and local laws have a major influence on the size, shape, processes, labor sources, and expenditures of American organizations? The Sherman Antitrust Act of 1890 was, of course, one of the earlier forms of legislation that regulated the size and scope of organizational activity. Since that time there has been a steady flow of legislation and court decisions shaping what happens in the workplace. The Federal Employees' Compensation Act (1908) began the provision of income to employees exposed to hazardous conditions at work. Title IX of the Social Security Act of 1935 made provision for unemployment benefits. Also in 1935 the National Labor Relations Act (Wagner Act) was passed guaranteeing employees the right to bargain through union activities. The Fair Labor Standards Act was passed in 1938 to regulate wages and hours, including the establishment of a minimum wage and overtime requirements. Since that time, equity for equal work and child labor laws have been added. In 1947, the Taft-Hartley Act (officially the Labor-Management Relations Act) placed some restrictions on collective bargaining.

In 1970, the Occupational Safety and Health Act was passed, regulating the conditions of the workplace by setting standards for the safety and health of workers. Other components of the Social Security Act have been added, dealing with disabilities, medical care benefits, and additional retirement benefits, to name a few. Other legislative acts have included the Civil

Rights Act of 1964, the Age Discrimination in Employment Act of 1967 (amended in 1985) to protect older workers against discriminatory acts, the 1972 amendments providing the Equal Employment Opportunity Commission with more power in discriminatory situations, and the Americans with Disabilities Act of 1990, which describes requirements and prohibitions related to employees and prospective employees who have different types of impairments.

This brief sample of laws represents only a few of the types of regulations and requirements prescribed by law. Nearly every facet of organizational activity and managerial responsibility is affected in one way or another by legal requirements.

Society Calls for Changes

An illustration of an organizational change with a social origin might be the revision of an organization's wage policy to provide equal wages for equal performance regardless of the sex of the individual (mentioned above). The move for equity and other social forces may cause organizations to adjust and adopt policies and procedures in keeping with the evolution of social values. Changing social values can have an impact upon almost every phase of an organization's operations.

KINDS OF CHANGES

Most organizations at this very moment are faced with pressure to change. What kinds of changes are being called for? Organizations are being pressured to:

1. reduce pollutants,
2. utilize biodegradable materials,
3. comply with numerous standards and regulations from government agencies,
4. modify the physical work setting,
5. implement new management techniques,
6. adjust to new accounting methods,
7. and/or deal with increasing external forces, such as consumer and environmental groups, a fluctuating economy, a freer trade.[2]

THE EFFECTS OF CHANGE UPON EMPLOYEES

At least three types of adjustments must be made with change: behavioral alterations, psychological revisions, and social adaptations.

Behavioral Changes

Behavioral alterations are modifications in the overt, physical routines by which work is performed. Behavioral adjustments for new regulations, procedures, and methods of operation are usually required. Look back at Charlie Trikowsky's case. What behavioral changes were needed from Charlie and his co-workers? Will these changes be simple to achieve?

Psychological Changes

The psychological effect of change might be defined as the attitude developed by the individual employee toward change. The attitude toward change is based upon an employee's ability to cope with the demands resulting from change. A worker who perceives self as capable of adjusting to change without an overwhelming degree of personal sacrifice and who views the result of the change as largely beneficial may psychologically adopt a positive attitude toward the change. On the other hand, the employee who feels incapable, insecure, and fails to see many personal benefits forthcoming from the change may have a negative attitude and will oppose the change.

A range of attitudes usually representative of workers reacting to change runs from open, complete acceptance of change to active resistance to it (see Figure 14.1). Refer back to the Charlie Trikowsky case again. When the ownership of the company changed hands, in the subsequent downsizing, and in the alteration of shifts, Charlie could have reacted by active resistance, passive resistance, indifference, or acceptance. We can assume that Charlie's first reaction may have been acceptance of the changes simply because he wanted to keep his job and he saw no better alternatives. With the heavy demands of the changed situation, however, Charlie is no longer enthused about what's taking place and might eventually choose another response—possibly withdrawal from the whole situation. As Figure 14.1 shows, attitudes result in behavior patterns that may attempt to enhance the outcome of change, try to impede the progress of change, or take a more neutral response toward it.

FIGURE 14.1. Range of Attitudes Toward Change and Effects on Behavior

Acceptance	Support, cooperation, and enthusiasm
Indifference	Neutral response, minimal performance
Passive resistance	Ignoring, refusing directives, limiting actions
Active resistance	Withdrawal, sabotage

Source: See Arnold S. Judson, *A Manager's Guide to Making Change* (London: Wiley, 1966), for more detailed patterns of reactions to change.

Social Changes

The social adaptations that change calls for involve alterations in the relationships between individual employees, bosses, colleagues, workers, the informal groups to which they may belong, and new employees with whom they may come in contact. Change often affects the degree of social interaction between individuals. Change may also have an impact upon roles, status, cohesiveness, and patterns of identification and acceptance among people.

Change seldom leaves social patterns totally uninterrupted when it occurs. Not only has Charlie's relationship to his family changed, but he's probably had to adjust to new co-workers, new bosses, and maybe even new union representatives. New behavior patterns have been formed to cope with the exhausting work schedule. He's probably taking more personal time off than he did previously. He may even be surly in his relationships with others as he attempts to carry the new load.

Additional Effects of Change

In addition to the categories already described, change may also result in new reward systems for employees, new job freedoms and constraints, new authority structures, new action-time schedules, and new working environments. Look again at the opening case. What are the potential benefits of the change? Is Charlie aware of the benefits?

WHY CHANGE IS OFTEN RESISTED

If all changes, regardless of their origins, were accepted and implemented enthusiastically by managers and other employees of every organization, this chapter would be unnecessary. There would be no problems of concern to the manager involving the development of a strategy for change. Change often results in resistance, however, and negative employee reactions may doom the success of programs of change if not handled properly. For a quick check on your own receptiveness to change, take the Personal Feedback Reaction to Change test.

Why do employees sometimes resist changes within the organization? A number of explanations have been given as possible reasons for the development of attitudes and behavior patterns of resistance. At least two of the models discussed in Chapter 8 offer possible explanations. The success-failure model, for example, suggests that resistance to change, in part, is a function of previous experiences with change. Individuals who have experienced good results from previous change are likely to be receptive and open to future change. Individuals with bad experiences with previous change are more likely to resist future change (see Figure 14.2). Charlie Trikowsky may have

PERSONAL FEEDBACK
Reaction to Change

This group of questions will help you gain insight into how you think and what your behavior is when change takes place around you. Respond to each statement by putting the score to the left of each statement that represents your degree of agreement or disagreement with the statement.

A score of 5 means you strongly agree with the statement.
A score of 4 means you agree with the statement.
A score of 3 means you neither agree nor disagree with the statement.
A score of 2 means you disagree with the statement.
A score of 1 means you strongly disagree with the statement.

_____ 1. Change usually means that something better is going to result.
_____ 2. I'm willing to give new things a try.
_____ 3. My past experiences with change have been pleasant and positive.
_____ 4. It is difficult for me to accept new people when we first meet.
_____ 5. I have a strong, positive feeling about myself and what I am capable of doing.
_____ 6. I like to be given responsibility and to be held accountable for getting things done.
_____ 7. Something new usually means something not as good as something old.
_____ 8. Change for the sake of change is usually acceptable to me.
_____ 9. I am afraid of things I know nothing about.
_____ 10. I don't take risks unless I am pretty certain I can handle them.

When you have answered all ten of the questions, record your answers in the following manner. For the following questions write down the score you gave as an answer.

1. _____
2. _____
3. _____
5. _____
6. _____
8. _____

   Subtotal _____

Reverse score the following items by subtracting the score you gave the statement from 6. If, for example, you scored item 4 as a 2, subtract 2 from 6 to get your adjusted score of 4.

4. (6-_____)   =   _____

7. (6-_____)   =   _____

9. (6-_____)   =   _____

10. (6-_____)   =   _____

   Subtotal   _____

   Total   _____

Now add your two subtotals together. The higher your score, the more positive you are toward change and the events calling for change. In other words, you have a good aptitude and openness toward change. The lower your score, the more you are disturbed by change and the threat of change. A score of 40 or above indicates a high confidence and receptivity to change. A score of 30 through 39 indicates some confidence and acceptance of change. A score of 20 to 29 indicates uncertain or neutral feelings toward change. A score of 10 to 19 indicates significant concern and reluctance to accept change.

This test is designed to be thought-provoking and insightful. The test is nonvalidated.

FIGURE 14.2. Acceptance of Change Based Upon Previous Success or Failure
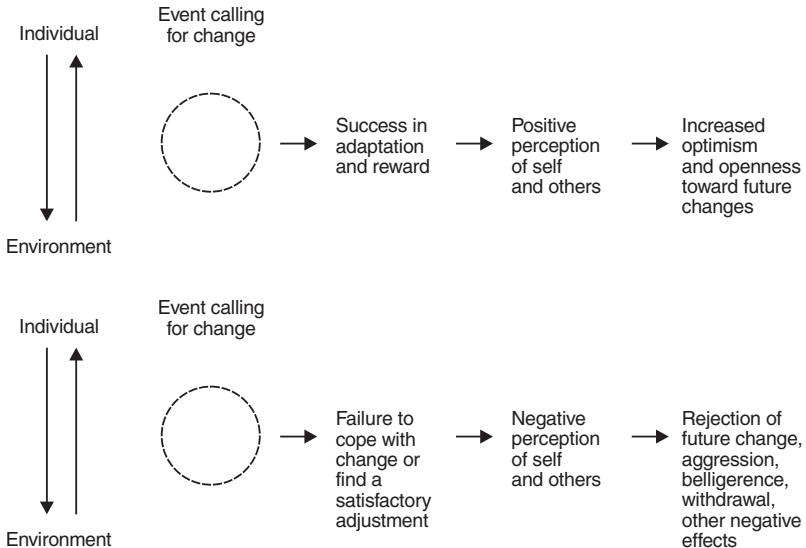
originally been open to changes at Try Right, but his experiences since the downsizing and the shift changes have been so negative that he will be more skeptical when changes appear in the future.

The TA Approach

Chapter 8 presented the transactional analysis (TA) point of view. Drawing from TA, it is possible to say that people might be skeptical of future change for fear that stroking will be less likely from the new situation when compared to the stroking that they now receive. To say this in another way, future situations are sometimes seen as having fewer rewards or reinforcements than are presently being received. We know that stroking—i.e., receiving rewards and reinforcements—is important to workers.

TA would also say that resistance to change might occur because the new situation is inconsistent with attitudes established by the parent and child parts of the personality. Only the adult part of the personality has the ability to look at change rationally and maturely.

Tension

Other psychological concepts, such as those advocated by Sigmund Freud, operate on the basis of tension release.[3] Things that cause tension are uncom-

fortable, and the human organism tries to free itself of tension when it occurs. Change causes tension to develop. As tension develops, the individual either seeks ways to deal with it and get rid of it or neutralize it, or the individual attempts to erect a shield or barrier to avoid the stressful condition altogether. The ultimate goal is to minimize the time period between the creation of tension caused by change and the release of tension—or to restore conditions to being tension-free if the change can't be avoided (see Figure 14.3).

Fear

In capturing a thread of unity from the previously described theories of resistance to change and adding a new dimension as well, it is clear that many employees are afraid that change will result in the loss of something important to them. The anticipated loss suggests that a vacuum will be created in an area of personal value. Levinson has suggested that most of these fears are not based upon fictional imaginations but in fact usually result in real losses.

> All change—promotion, transfer, demotion, reorganization, merger, retirement, and most other managerial actions—produces loss. Despite the fact that change is necessary and is often for the better, the new always displaces the old, and at some level of consciousness, individuals experience the threat of this displacement or loss.[4]

FIGURE 14.3. Tensions and Reactions to Tensions Caused by Change
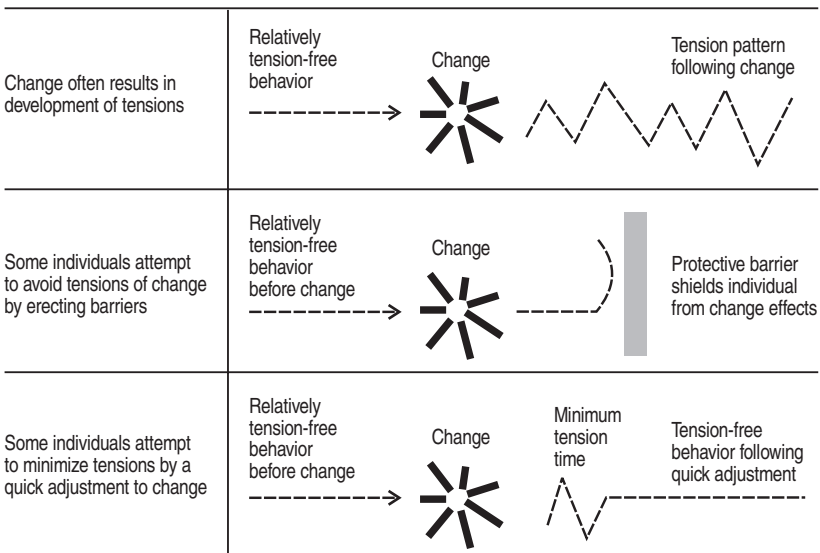
Levinson goes further to say that personal losses because of change usually result in at least four areas of deprivation: the loss of love, the loss of support, the loss of sensory input, and the loss of the capacity to act. Others would add to these the fear of the loss of meaning and the loss of a future.[5] People are often afraid that respect, acceptance, help, the ability to influence others, power, and other things may be lost as a result of change.

Another way of looking at fears that develop because of the demands of change is simply to consider change as a threat to the personal needs and ambitions of the employee. Change may undermine the fulfillment of any or all human needs—physical maintenance, security, affiliation, social, esteem (recognition and reputation), competence, power, achievement, and hope. When a new supervisor comes on the scene, for example, an employee may immediately become concerned about the protection of sources for fulfillment of needs for security, social esteem, competence, and power. A worker who is asked to modify a job routine may instantly be afraid of the losses of security, affiliation, competency, power, and achievement as a direct result of the demands the change presents. Some fears connected with the demands that change may call for are only imaginary, while others are unmistakably real. The important fact, however, is that change is often resisted because of the anticipated threatening effects employees believe will result. In the Charlie Trikowsky case, what fears has the new change called forth in Charlie? Do you think all of the employees feel the same way he does?

OTHER FACTORS INFLUENCING RESPONSE TO THE DEMANDS FOR CHANGE

The Initiator of Change

Another important factor in the acceptance or rejection of change is the employee's attitude toward the individual(s) who decided that the change is necessary and introduced it. If the change agent is respected and the employee has confidence that the agent will act in the employee's best interests when deciding upon and implementing a change, the employee may be more disposed to cooperate with the requested change. If, on the other hand, the employee lacks confidence and trust in the instigator of change, the resistance to change may be much greater.

The Risk-Taking Tendencies of the Employee

Each individual of whom change is demanded has a level of tolerance of change or degree of willingness to take risks involved in change. There are even methods for evaluating the risk-taking potential of employees through testing. The low risk taker sees mostly the negative consequences of the situation and no positive advantages. As a result, this employee is not receptive

to change. The individual high in risk-taking tendencies, on the other hand, sees mostly the benefits of a risk (change) and is more open to events involving change. Previous positive experiences with change and confidence in one's own decision skills help to increase receptivity to the risk of change.[6]

The Necessity of Change

Another dimension of acceptance of change is the urgency of the need for the change. If an organizational change must occur for the survival of the organization itself, workers view, accept, and implement change with less reluctance. If, for example, economic developments or competitive factors demand that a modification in work procedures must occur for a firm to continue in business, the adjustment may be made without too much foot-dragging. Workers have been known to volunteer to work longer hours for less pay so that their employing organizations could continue operations.[7]

If organizational alterations appear unnecessary, employee receptiveness is not likely to be very high. If a manager, for example, asks his or her employees to stop taking the customary coffee break without supplying a good reason for the requested change, the employees typically may be nonreceptive to the request and will resist at great length. In such a situation, the workers may believe that the underlying forces necessitating the change are not really important, and they treat them accordingly. The required adjustments appear unnecessary and nonbeneficial to them. If there is an important reason for the change, however, acceptance may result quickly.

In most situations involving changes that are discretionary (where change is optional rather than mandatory), managers will find a cost-benefit analysis helpful. In this, the costs of changes are made (costs involving expense, required new training, new benefit packages, effects on morale, the development of fear and insecurity, etc.) may be compared with benefits to be gained by making the change (increased productivity, higher profitability, a more prompt response to the needs of clients and customers, and so forth). Generally speaking, changes resulting in greater benefits than costs would be the ones to consider. Normally, changes with higher costs financially, psychologically, and physically than positive gains would not be implemented (see Figure 14.4). On the other hand, employees as well as managers who know that benefits exceed costs will be more receptive to changing situations.

FIGURE 14.4. Cost/Benefit Options with Change

Where benefits	>	costs—changes normally should be made
Where benefits	<	costs—changes should be avoided

MANAGEMENT'S GOALS FOR CHANGE

It is undeniable that change affects the people who work together within an organization. As change is being considered, the management of the organization must determine its goals and objectives for bringing about modifications and alterations. Some worthy objectives for change within organizations from a management point of view may include the following:

- Strive to make changes and alterations that are universally beneficial whenever possible. In other words, a change that results in gains for the organization, its owners, its employees, the publics being served, and the community at large would be highly desirable. Such changes are referred to as "win/win" because everyone—the organization, employees, and customers, for example—comes out a winner.
- Initiate changes in such a way that employees are receptive to them and will be willing to give them a fair trial. Strive for acceptance and support of changes on the part of those who will be responsible for their successful completion.
- Anticipate the effects of change upon organizational members and, whenever possible, make adjustments for the impending effects.
- Attempt to minimize personal losses and fears that may develop as change approaches.

LEADERSHIP FOR CHANGE

Leadership in times of change is very important. Nadler and Tushman say that two general types of leadership activity are important in the change process. One set of activities involves what the authors call charismatic leadership; the other is instrumental leadership. Charismatic leadership concentrates on bringing about changes in the values, goals, needs, and aspirations of the people involved in change. This type of charismatic leadership requires envisioning, energizing, and enabling. Envisioning is the creation of a picture showing what is possible and desirable for the future; energizing is actually motivation—providing the desire to make a change; enabling is psychologically helping people to perform the challenging new behaviors.[8]

Instrumental leadership makes it possible for people to do the things they are expected to do. Activities involved include building (structuring) teams of individuals to work together, developing and communicating goal expectations, and administering rewards and punishments so that individuals see that change is useful to themselves and the organization.

MANAGERIAL GUIDELINES

Keeping in mind the managerial objectives of beneficial achievement, employee acceptance and support, and minimization of fears and personal losses, it is appropriate to consider actions managers can take to make change in a way that accomplishes these objectives. Several things can be done.

Defining Objectives and Optimizing Mutual Benefits

It is essential to investigate overall organizational objectives to be certain that they support the philosophy of providing positive benefits for the organization, its owners, its employees, its customers, and the community in general. Unless organizational objectives specify the pursuit of mutually beneficial results, changes may fall short of providing fulfillment for everyone.

If objectives are outlined in a collectively advantageous manner, changes and innovations can be considered on the basis of whether or not they will contribute effectively to the reasonable fulfillment of needs and goals for all involved. Changes that do not have the interest of all in mind may be dismissed if the option lies within the organization. In the Charlie Trikowsky case, the changes were probably made so that the organization could compete better. Do Charlie and his co-workers know this? What difference would it make if they do?

Suppose change is forced on the organization by outside factors. Externally forced changes cannot, of course, be treated in the same manner. However, when external factors make change necessary, it is especially important for management to share the reasons for the change with those affected and to channel the modifications so that they can be useful to everyone. Carrying this thesis one step further, it can be said that only changes that promise desirable results should be implemented, except in the most unusual circumstances. Changes that offer minimal opportunities for success and desirable results normally will not be given serious consideration because the adverse effects of adaptation to change will often overshadow the attainable merits.

Often change does offer benefits to workers, but workers' perceptions enter in. If employees aren't shown how the change can benefit them, they may believe that it won't benefit them—especially if they've had negative experiences in the past with change.

Enlisting Employee Participation

A particularly helpful managerial action in considering change is to allow and encourage employee participation in deciding whether the change should be made and how it should be made if a decision to change is reached. Early participation by employees affected by the change accom-

plishes a number of purposes. Change decisions that will have overwhelmingly negative consequences on employees usually can be identified and eliminated or revised. Employee participation helps the new method or procedure to become the brainchild of the workers themselves. Workers feel personal responsibility for it, and they usually will support the change when it occurs. Employee participation aids in the full disclosure of the causes, consequences, and implications of the change so that uncertainties concerning the change are avoided. Control of change by those affected can reduce resistance.[9] Employee participation in the change process is one of the most useful tools of management for the successful introduction and implementation of change.

Allowing for Early Planning and Advance Notification

When a change has officially been decided upon, early planning for the change and notification of those affected usually is helpful. Lead time for adjustment is important; an organization knowing a year in advance that it will be necessary to transfer several employees to new jobs can take the necessary steps to provide the reorientation, training, equipment realignment, social adjustment, and other actions necessary to be ready for the transfer when it finally happens. Employees appreciate advance notifications of changes that affect them personally so that they can begin to make physical, psychological, and social readjustments. Of course, not all changes allow for an advance-warning period; but when it is possible to sense a change in advance and communicate that fact, employees can prepare themselves more satisfactorily.

To illustrate the value of early planning and notification, consider what happened in a large engineering consulting firm when it decided to close one of its branches some years ago. The reasons for closure were primarily economic: the demand for consulting services where the branch was located had weakened. The branch was in a community several hundred miles from the company's headquarters. The decision to close the branch had been made more than a year in advance of the planned closing date. Since there were no positions open at the headquarters or in other branch offices of the organization, the change, in effect, meant that most of the personnel at the office would be out of a job when the branch was actually shut down.

As soon as the decision was made, the manager of the branch office was authorized to tell the personnel (most of whom were engineers, technicians, and secretaries) what was about to happen, why it was occurring, and when it would take place. The manager extended a number of assurances to the staff, telling them that the company would initiate a placement service whereby employees' data sheets would be distributed to prospective employers of the employees' choice, an office would be opened within the branch office to allow recruiting representatives of other organizations to in-

terview the employees concerning new jobs, other placement assistance would be given as needed, and appropriate severance pay would be provided for any employees who had not secured a job (if they were actively seeking one).

When the time came to close the office, every employee had received at least three offers from other employers, and most employees were able to move to higher-paying, attractive positions. Not only were the displaced employees grateful for the interest and support of their old employer, but employees of the firm who worked at headquarters or in other branches had a greater respect for their employer and a higher level of security in the knowledge that their organization was sincerely concerned about the welfare of its employees.

Guaranteeing Employee Protection

The adoption of organizational policies that provide protection and support for employees may add stability to the workforce when faced with change. A wage policy guaranteeing that employees cannot be forced by any changing circumstance to accept jobs with lower pay scales within the organization removes some of the economic threat of change. A policy of utilizing seniority as the basis for making decisions on layoffs, position bidding and bumping, and in other important areas gives security to the more established employees. A policy of providing adequate severance pay when an employee in good standing must be released from the organization also cushions economic fears. Informal policies of preserving status and upgrading positions when change occurs encourage workers to be more receptive to future change. A policy of retraining employees whose skills have become obsolete lends encouragement when technology forces change.

Providing Resources and Training

It is important that the organization commit resources that are sufficient to bring about change satisfactorily. Knowledge of the availability of resources needs to be communicated to those who are expected to carry out the change. It is usually desirable that a slow pace be used with change. A slower pace reduces the complexity of change by allowing for adjustment time.

Employees affected by change should be given adequate training on any new equipment or procedures involved. If training is not given, workloads should be temporarily reduced. As skills are developed, the work pace can be gradually increased.

Using Groups to Help Employees Overcome Their Fears

Identification of existing cohesive groups can be useful in helping employees reduce their fear of an upcoming change. These groups are made up of individuals who are bonded together firmly. They can be used as pilots of change. The grapevine can work effectively, too.

Many steps can be taken to overcome or lessen fears of loss of social rapport and affiliation. Whole groups of employees often are allowed to adjust to a change together so that social realignment will be as limited as is possible. Workers may be allowed to interact with future co-workers for long periods of time in advance of their actual working together so that affiliations can be made and fears overcome before the situation becomes binding.

Applying the Tentative Approach

An effective technique for overcoming fears is the use of the tentative approach. This technique is basically the establishment of a trial period of change in which employees are asked to work under the new requirements or conditions without actually accepting the change and committing themselves to abide by its new demands. The tentative (trial) approach has several advantages:

1. Those involved are able to test their reactions to the new situation before committing themselves irrevocably.
2. Those involved are able to acquire more facts on which to base their attitudes and behavior toward the change.
3. Those involved who have strong preconceptions are in a better position to regard the change with greater objectivity. Consequently, they can review their preconceptions and perhaps modify some of them.
4. Those involved are less likely to regard the change as a threat.
5. Management is better able to evaluate the method of change and make any necessary modifications before carrying it out more fully.[10]

The tentative approach has a way of defusing potentially explosive rejection of change. Most individuals approaching a change on this basis discover that they are capable of the adjustment. Often they discover that the consequences are better than anticipated. There are, of course, some instances in which a change is rejected after a trial, and management must be prepared to deal with that eventuality.

Additional Means of Encouraging Acceptance of Change

As mentioned earlier, the individual(s) selected to introduce change and to enlist employee cooperation will also have an effect upon the level of worker acceptance. Selecting individuals as change agents who are respected and who have the confidence of other workers improves the probabilities of successful reactions and adjustments to change.[11]

A very important part of the successful change process is to reward those who adjust to and accept change. Rewarding or reinforcing desirable behavior encourages the new behavior to continue.[12]

When the employees of an organization lose something as a result of unpreventable change (loss of wages, loss of desirable social climate, loss of freedom, and so forth), management can make an effort to substitute something else for the loss. The commission ratio of a salesperson who is transferred from a prime sales territory to one with less potential can be increased. The employee who is placed in an isolated, confining work position could be given shorter work hours or more coffee breaks to offset the restrictive environment. The manager who gives up a private office to another manager might receive other status symbols (preferred parking space, a fancy job title, etc.) partially to offset the losses sustained. It is true that not every loss can be compensated for, but efforts to do so often provide fruitful results.

Management should not overlook other possible sources of assistance in implementing change and getting its acceptance. Labor unions, for example, frequently work with managers in organizations to implement change when the change promises benefits to employees. Informal work groups within the formal organization may encourage members to respond favorably to change when the benefits of change are communicated and understood. Influential individuals both within and outside the organization may be persuasive in leading individuals to respond positively to change. Government agencies sometimes provide financial and advisory assistance in implementing organizational change.

Summary of Guidelines

This list of ways to enhance the positive side of organizational change and to minimize the negative consequences of change is by no means comprehensive. It does show, however, that many negative effects of change can be prevented or adjusted to if careful consideration is given to both the benefits and the negative consequences of change and if care and planning are included when implementing change. To summarize the suggested techniques, change can be facilitated by the following:

1. Defining organizational objectives that provide benefits for all parties related to the organization—the owners, employees, customers, and the community at large
2. Choosing to make changes (whenever possible) that optimize the mutual benefits for all of these groups. Change that has more benefits than costs is something to strive for
3. Allowing and encouraging participation by the employees to be affected by change in the decision-making and implementation stages of change
4. Utilizing advance planning, notification, and communication of change and its anticipated effects
5. Adopting organizational policies that provide maximum amounts of encouragement and support for organizational members when change occurs
6. Committing resources sufficient to bring about successful change and then communicating this commitment to employees
7. Giving adequate training or reduced workloads to employees so that adjustments can be made
8. Considering a number of methods of facilitating the social adaptation demanded by change and utilizing the appropriate methods
9. Utilizing the tentative trial technique whenever feasible
10. Carefully selecting respected, valued individuals to serve as change agents (introducers of change)
11. Rewarding the performance that adjusts to change
12. Compensating or substituting for personal losses that are unavoidable[13]

ORGANIZATIONAL DEVELOPMENT

It is possible for the management team of an organization to establish a program of comprehensive change that we have come to label Organizational Development. Organizational Development (OD) is an attempt by the members of an organization, with the help of a consultant, to achieve the fullest potential of the organization as well as to correct any problems or shortcomings existing within it. Change could result in every area of the organization—formal structure, informal relationships, goals and objectives, communication patterns, decision-making processes, relationship to the environment—as needed for optimum performance. In other words, when the organizational development effort begins, all phases of the organization are subject to review. Based upon the findings of the review, a program of change can be developed and implemented.

The concept known as Organizational Development got its start in the mid-1940s. Radical change after World War II meant that something more complete than simple training programs, isolated shuffling of authority, and

other separate efforts were needed in many organizations. A comprehensive analysis and innovation was called for. Through the years, a procedure for bringing about a total review of an organization with the purposes of instituting planned change has developed. The steps to the process may include the following:

1. *Scouting*—Arriving at a decision of whether to have a change agent enter an organization for the purpose of applying organizational development
2. *Entry*—Establishing a collaborative relationship for initial problem exploration and the selection of data-gathering/feedback methods
3. *Data gathering*—Developing measures of organizational variables and processes
4. *Data analysis and feedback*—Interpreting and organizing the data, feeding the data back to the system, and developing a shared understanding of the system and its problems in collaboration with the client
5. *Action planning*—Developing specific action plans, including who will implement the plans and how their efforts will be evaluated
6. *Action implementation*—Setting into motion specific action plans
7. *Evaluation*—Determining effects and effectiveness of actions implemented leading to further efforts or to termination[14]

Role of the Change Agent

A change agent or consultant is essential to this process. The change agent is an individual (often from outside the organization) who serves to lead the organization through the stages of OD until the review, implementation, and evaluation have taken place. The change agent serves primarily as a catalyst who assists the organization to discover its own solutions as much as possible. The change agent raises questions, encourages interaction, and supplements knowledge so that a thorough review of problems, alternatives, and solutions occurs. Ideally, the change agent begins work without preconceived notions of what is wrong in an organization and what the solutions to the organization's problems are. The answers and the necessary actions are revealed as the organization's members perform the review the agent leads them to do.

Helping OD Work Properly

If the OD process is to work optimally, several conditions are needed:

1. Organizational members who can be candid with one another about their experiences in the organization
2. People who take responsibility for their own actions

3. Individuals who relate holistically (i.e., in terms of the whole person, not just aspects of the person, such as sex or age) to other organizational members
4. Individuals who view other organizational personnel as equals
5. Coordinated effort where there are shared plans and shared rewards
6. Commitment by the members to the organization's welfare
7. Commitment to humanistic management[15]

A typical part of the data-gathering process would be the asking and answering of questions about every possible facet of the organization and the work groups within it (see Table 14.1). The managers and their subordinates develop their own answers individually or collectively to the questions asked them by the change agent. The change agent compiles answers and conveys findings back to the participants. At this stage, the consultant may allow the group to develop solutions to problems identified. In most cases, however, it will be necessary for the agent to use intervention techniques, such as team building or career planning, to get movement and change initiated. The change agent needs expertise to prescribe and conduct interventions that will produce positive results. Frequently used intervention techniques include team building, management by objectives (MBO), systems analysis, job enrichment/enlargement, seminars, mechanization and automation, and the use of surveys with questions such as those shown in Table 14.1.[16]

The program of change that is established is based upon specific findings from the audit and not predetermined packages of answers. One of the keys to successful OD utilization seems to be the flexibility and the absence of predetermined solutions to anticipated problems. The ability and sensitivity of the consultant seem to be very important to the success of OD.[17]

OD, Attitude Change, and Training

The initial efforts of action planning and action implementation concentrate on changing personal attitudes and habits of organizational members. Such changes affect the collective habits and attitudes of groups of people. As the groups are developed and integrated, organizational members become more capable of dealing with structural, technical, and operational problems. Organizational Development investigates the climate or surroundings in which people work as a forerunner to other changes.

Training or retraining individuals so that technical, interpersonal, and decision-making skills are cultivated or changed often is a part of the OD process. However, OD is very different in scope and application from simple training; Organizational Development focuses on all of an organization's problems. It may work with groups rather than with individuals. The role of the consultant is as a facilitator as the change agent works intensively over a

TABLE 14.1. Questions to Assist in the Location of Organizational and Group Problems

Structural Questions
1. What is the formalized authority structure of the group?
2. Is this structure adequate or inadequate?
3. To what degree is delegation of authority practiced?
4. Other than through formalized authority, in what ways have organizational members gained their authority?
5. In what ways do informal relationships differ from formalized ones?
6. Are there any rigid social class boundaries in the group?
7. What are the major paths of communication among the organization's members?
8. How extensive is the division of labor within the group?

Functional Questions
1. Do group activities have a positive or a negative effect upon organizational survival?
2. Is cooperation resulting or is competition being fostered? What factors are the critical influences?
3. How well are group tasks contributing to group cohesiveness?
4. If participative management is practiced, does it serve as a vehicle for involvement or as a source for feelings of incompetence?
5. If job enrichment is practiced, what is the attitude of the group members toward the group's major functions?
6. Does each member know the functional requirements of other team members?

Causal Questions
1. Is behavior induced by the group or by individuals within the group?
2. Do majority groups and minority groups exist among the members of the team?
3. What roles are played by the members of the group? How do the roles that are played influence the performance and behavior of the group?
4. Are there social cliques in the group? What effect do these groupings have upon the actions of the complete team?
5. Which members are the most influential in determining the group's goals and behavior norms?
6. Are the technological requirements of the task causing any feelings of incompetence among the group members?
7. Are the individuals encouraged to participate or are they discouraged from active involvement?

Interaction Questions
1. Do people communicate directly with each other or is the process one in which key individuals spread the information to other members?
2. On what basis is consensus reached—through persuasion, coercion, formal authority, charisma, or some other basis?
3. Do all members conform to group goals or are there several significant deviants?
4. How are protest actions channeled?
5. What happens during a group discussion? Who shows solidarity? Who shows antagonism? Who gives suggestions? Who asks for suggestions? Who moderates the discussion?
6. How are internal conflicts resolved?
7. How are conflicts with external forces handled?

long period of time with groups. The key to the success of OD often lies in the skill and sensitivity of the change agent. Solutions, usually based upon the findings of the organizational audit, determine the kinds of changes and interventions that will occur.

SUMMARY

From an organizational point of view, change calls for modifications in the attitudes and behavior of the organization's members. Change frequently results from internal plans to improve the performance of the organization and to benefit organizational members and others. Change also may be a result of external influences including economic, technological, and social factors.

Employees in organizations where change occurs are called upon to make several behavioral, psychological, or social adaptations. Worker reactions to these demands range from hearty acceptance to active resistance. Success-failure, transactional analysis, and fear theories provide explanations for the resistance to and rejection of change that frequently occur. The individuals who serve as change agents also play a part in acceptance or rejection of change. The nature of a change (whether it is really necessary or only a luxury) may also influence the reactions organizational members exhibit toward the change.

It should be the purpose of every manager to maximize the positive effects of change and to minimize the negative consequences upon organizational members. If the guidelines suggested in this chapter are implemented, the results of change normally will be beneficial to both employees and the organization.

Organizational Development is a special form of planned change designed to help an organization become what it is capable of being. The change agent is particularly important here as the agent leads the self-analysis and innovation processes. Organizational Development makes use of many different intervention techniques as it seeks excellence. The interventions work best when they are a direct result of investigation of the organization's strengths and weaknesses rather than when they are prepackaged arrangements.

QUESTIONS TO CONSIDER

1. Why is it that so often change seems to benefit one individual or group at the expense of another?
2. How can changes that originate from sources outside an organization be handled most effectively?

3. Evaluate the statement, "Change that seems unavoidable is normally accepted more readily than change made when options are available." Is this statement valid? Why or why not?

4. Which types of adjustments are made most easily—the behavioral, the psychological, or the social?

5. Consider your own observations of change. Can you cite situations where change was handled adequately because individuals had successful previous experiences with change? Can you also recall instances in which individuals have rejected change because of previous bad experiences?

6. "Changes should never be made unless there is a reasonable certainty that benefits will definitely result." Is this statement valid? Why or why not? What are the ethical considerations?

7. What problems exist with giving workers advance notice of impending changes?

8. "Preventive measures are always better than actions taken after problems develop." What is the meaning of this statement? Does it apply to the management of change?

9. Is it possible to forecast the effects of change? Please explain.

10. How is OD different from other forms of planned change?

11. How do training programs fit in with OD programs?

12. Please go back to the beginning of the chapter and answer the questions following the opening case.

CHAPTER CASE:
MAKING SOMETHING HAPPEN
AT THE SCHOOL BOARD

Upon graduation, you take on what you quickly realize is the job challenge of a lifetime—you go to work for the city school board of a large metropolitan area that is noted for problems with its school system. You are in a staff position. Officially, your title is Staff Analyst, Special Projects. You ask your boss what some of the special projects are expected to be.

> What you need to understand is that our staff is new and that we're in a place to make some real changes. The mayor is really alarmed. You know, of course, that businesses in the city just lost a major contract for some work for the federal government. I'm sure that you've heard the "official" position as well—that the low bid by Amalgamated Industries was the main reason. Well, the mayor's inside information is that the bid wasn't the main factor. The main factor is the state of education in this city. It's so bad that we aren't considered to have an educated workforce. The mayor, the governor—everybody is determined

that we must make an all-out effort to radically and totally revamp the entire public school system in this city to ensure that this never happens again. Your job will be to do the research that is needed to get things going.

You go home with a terrible headache and are worried that you're in way over your head—-or anyone's head, for that matter. But the next morning you're feeling somewhat refreshed and decide to give it a try.

When you get to work the next day, the boss pulls you aside.

Now I've really got a tough assignment for you. I want you to try to persuade one of the district administrators to turn over control of one of the elementary schools to us so that we can run a study of a new experiential reading curriculum. You've got to do it—the guy won't even speak to me. The problem is that this particular administrator, John Harold, is strictly from the Stone Age. He's one year away from retirement and hasn't entertained a new idea in at least twenty years. Anyhow, give it a go. You're our last hope.

You aren't too optimistic, but you agree to try.

Case Questions

1. What can you, as a manager, do to get the new program accepted?
2. Suppose you determine that there is a need to change the organization as a whole (a complete overhaul). How could OD be used in this situation? What steps would you take? Who should be involved?

GLOSSARY

behavioral adjustment: Modification of the actions of employees as a result of change.

change: A behavior, event, or condition that is different from a previous behavior, event, or condition.

change agent: Often called the consultant. The individual with the responsibility for leading an organization in the process of renewal and growth, called Organizational Development. The change agent serves as a catalyst to bring about innovation within an organization.

Organizational Development: A form of planned change where the members of an organization, with the help of a consultant, audit themselves and their organization, then are led in a program of improvement and revitalization based upon the findings of the evaluation.

planned change: Behavior, events, or conditions that are different as a result of deliberate actions. In this chapter, planned change takes place as a result of managerial planning.

psychological effect: The results of change that causes mental strategies different from previous strategies.

social adaptation: The result of change that causes new relationships and affiliations to be formed.

tentative approach: A method of bringing about change in which modifications done on a trial basis can be reversed if the employee doesn't like the adjustment after using it for a time.

unplanned change: Behavior, events, or conditions that are different as a result of unpredicted, spontaneous factors forcing alteration to occur.

Chapter 15

Managing Conflict

OBJECTIVES

- To ascertain a manager's goals when conflict occurs
- To identify typical causes of conflict
- To recognize that the presence of conflict is not always destructive
- To identify constructive processes for the resolution of conflict
- To see the strengths and weaknesses of the different conflict management techniques
- To develop skills for handling conflict when it arises

A CASE TO CONSIDER:
ELIZABETH REYNOLDS—
THE SECRETARY EVERYONE WANTS

Aaron Slade is regional sales manager (RSM) for World-International Airlines. He administers a wide range of responsibilities and has three district sales managers (in the same office) who cover smaller territories within the region to help him fulfill his duties. One of the district sales managers (DSMs), James Calton, is retiring at the beginning of next month. The retirement of this district manager has created something of a crisis between the two remaining district managers in a unique way. Calton's personal secretary is highly skilled, and the two district managers are fighting for her to work for them.

Calton's secretary, Elizabeth Reynolds, is a long-time employee of World-International and knows its operation from the inside out. She is exceptionally knowledgeable, capable, and skilled as an executive secretary. Reynolds has been an employee of World-International for almost twenty-five years, the past eighteen of which she was Calton's secretary. She is totally familiar with the responsibilities and functions of a district sales manager's office. Her vast knowledge of the office duties and her superior abilities create the keen demand for her skills. As a result, the clash has developed between Charles Wong and Marilu Powell, the two remaining DSMs.

Both Wong and Powell have demanded of Don Bright, the regional personnel director, that Reynolds be assigned to them as personal secretary upon Calton's retirement. Wong has told Bright that he should be entitled to Reynold's assistance for the following reasons:

1. Wong has the most seniority with World-International, both in years of total service and in rank. He has been with World-International for twenty years and has been a district sales manager for nine years. Powell has been with the organization only fourteen years and has been a district sales manager for only three years.
2. Wong is out of town almost constantly and needs someone in his office who can handle matters competently in his absence. His present secretary has made a number of mistakes and appears incapable of performing well in his absence.
3. Wong has spoken with Ms. Reynolds about making the move to his office, and she has indicated her willingness to do so.

Powell has also argued her case before Bright. She states that:

1. She requested Ms. Reynolds be transferred to her office at an early date, several days before Wong made his request.
2. Her secretary resigned a few weeks ago to move to a different city. Therefore, she has no secretary, while Wong already has one.
3. Ms. Reynolds could be of invaluable assistance to her (because of her knowledge and experience) as she formulates new plans for the district that she supervises. Powell, too, is out of town a large percentage of the time.

Both Wong and Powell have been rigid in their demands; hostility seems to be developing between them. Bright has been unable to resolve the problem, and there is no precedent upon which he can base a decision. He has no authority over either Wong or Powell. When vacancies have occurred in secretarial positions in the past, it has been Bright's responsibility to screen applicants and forward qualified prospects to the manager in need of replacement personnel. Mr. Bright has been searching for an appropriate replacement of Powell's secretary for nearly a month and has sent two candidates to Powell's office. However, Powell is adamant in her wish to have Ms. Reynolds as her secretary. Mr. Bright also realizes that he must find a personal secretary for the new district sales manager as soon as one is appointed.

Because Bright lacks the authority to decide which DSM will have Reynolds as secretary, he has requested that the regional sales manager

(Aaron Slade) step in and handle the situation. Slade has accepted this responsibility.

Case Questions

1. As Slade (the RSM) assumes responsibility for resolving the differences between the two DSMs, what should his goals include? Please be specific.
2. What are the specific underlying causes of the conflict that is developing? In other words, what's to blame for this situation?
3. The hostilities between Wong and Powell have already begun to develop. What should Slade do to resolve these hostilities?
4. Does Reynolds have any rights in the matter? What about her preferences? Is she merely the object of the decision, or is she an integral part of it?

*   *   *

One of the primary purposes of the organization is the coordination and integration of the efforts of many people to attain mutual goals and objectives. As people work together, tensions sometimes develop that result in dissension and hostility. Traditionally, conflict has been considered to be something that does not have to take place but frequently does. It has been viewed as a consequence of greed, self-centeredness, and competition. Conflict has been seen as a disruptive force that keeps organizations from being optimally productive. In the traditional view, managers are supposed to eliminate conflict from the organization. Conflict is seen to be harmful in its consequences.

A more contemporary view sees conflict as inevitable when people work together. Conflict occurs as a consequence of many factors, including the struggle to excel and achieve. Conflict, although sometimes working in a detrimental way, can also have constructive effects on organizational and personal performance. A certain amount of conflict and tension may even be essential for optimal performance to occur. Managers must control conflict so that the result is positive and beneficial to the organization and its members. The difference between successful and unsuccessful outcomes from conflict is partially a result of the leadership skills of the supervisors involved. Constructive conflict management may also be a product of the proper identification and treatment of problem areas.

Look back at the Elizabeth Reynolds case that opened this chapter. It is easy to see that there is conflict between the two DSMs over which one—if either of them—will get Reynolds as a personal secretary. It is also easy to see that this conflict can be harmful to the organization. While the conflict is in progress, both DSMs may be paying more attention to it than to other, more important issues—such as increasing sales in their units. But could it

be possible to constructively manage conflict such as this? For example, could it be possible to find a solution that strengthens the individuals and departments involved and leaves the organization in a better position to meet its competition and sell its product? Such possibilities make the ability to skillfully manage conflict essential for managers at all organizational levels.

MANAGEMENT'S GOALS
WHEN CONFLICT ARISES

If conflict is to be managed positively and constructively, those who manage need a set of goals and objectives. Although the goals discussed in the following sections may not always be attained, they provide a helpful set of guidelines to pursue. When conflict arises, managers and supervisors who are in a position to influence and affect the attitudes and actions of those in disagreement may find it helpful to (1) identify the causes and feelings of the parties involved, (2) redirect tension and hostilities, (3) work to integrate ideas rather than accept a compromise, (4) achieve unity between the parties in conflict, (5) accomplish real and permanent solutions, (6) achieve a sense of fairness among those involved, and (7) result in satisfaction for all of the parties involved.[1]

Identifying What's Behind the Conflict

Conflict may be symptomatic of more deep-seated problems that may need attention and corrective action. The underlying causes of conflict, if left unattended, can fester and develop into even deeper, more severe problems. Resolution of conflict that deals only with surface tensions and not with actual causes can be considered only a temporary treatment of conflict. A more thorough approach to conflict is to identify and deal with the causes of conflict rather that the symptoms.

It may take real detective work to identify the underlying causes of a conflict. Often, those involved aren't fully aware of the underlying causes themselves. Or they may be aware of the causes but reluctant to deal with them openly. Take the case of Sonia, a bright but unmotivated case handler in a large government office. Sonia's work was below acceptable standards. When her supervisor transferred from the unit, one of Sonia's fellow case handlers with several years less service but a far better work record received a promotion to the supervisor's slot. Almost immediately, conflict broke out between Sonia and Elena, the new supervisor. On the surface, Sonia claimed that the reason for the hostility was a personality conflict. "Besides, I can't work for Elena—her supervisory style is terrible."

Anyone witnessing this situation as it developed is likely to have other questions. Questions such as, "Are there deeper reasons for the conflict?"

"Does Sonia resent Elena's appointment?" "If Sonia is a bright and potentially capable supervisor, why is her work so poor?" Issues such as these must be dealt with before a lasting solution to the conflict is to be found.

Redirecting Tensions and Hostilities

It is important to avoid the statement, "Provide for a release of tensions," because it has been discovered that people are often more highly motivated when a "healthy" amount of tension prevails.[2] If an individual feels strongly enough about something, it would be more helpful to channel interests and feelings in a positive direction rather than simply to release feelings and emotions. In other words, when tension is felt, the channeling of that tension toward the discovery and resolution of the problem, rather than toward the simple venting of emotions, may be a productive endeavor.

In the case of Sonia, management needs to look for ways to redirect her energy into productive channels. Could Sonia be used for special assignments that would be motivational, would give her an opportunity to show what she can do, and would possibly start the process of preparing her for her next promotion?

Integration of Ideas

It is better to achieve an integration of ideas from the conflicting parties rather than to reach a compromise as a solution. Mary Parker Follett first suggested that decisions involving more than one person do not have to be reached on the basis of pure compromise in which each party states a position and then the two extremes are conceded to a purely middle-ground position between the two poles. The middle-ground position tends to represent not the most satisfactory resolution of conflict but simply the most expedient solution. In place of the compromise position, as Follett saw it, conflict is best resolved with a solution that is most beneficial both for the organization and for the parties involved. Integration is better than compromise—it represents the best possible position. By integrating the ideas of the conflicting parties, the best ideas and concepts are utilized rather than the most easily agreed upon ideas.[3]

When a conflict occurs, this integration can sometimes be accomplished by redirecting the attention of the parties in conflict from their proposed solutions to thoughts about what it would take to make them feel like winners. If we were to ask Sonia for her proposed solution, she might say, "I want Elena to lay off and quit nagging me!" But if we could get Sonia to focus on what it would take to make her feel like a winner, she might ask for more recognition and more challenging assignments. As Sonia's work improves, both she and Elena could feel like winners.

Achieving Unity

Unity can be achieved through a meeting of the minds between the parties in conflict. This desired result of the proper handling of conflict is not absolutely essential, but it is helpful. Through unity, the efforts and interests of individuals can be coordinated, and cooperation tends to lead to progress.

The parties to a conflict tend to distance themselves from each other, and communication diminishes both in amount and in quality. We've all felt the release in tension that results when we talk over a problem during a conflict. When we clear the air, it becomes easier to find solutions. It's hard to remain angry at someone you're talking with honestly and openly. Undoubtedly, Sonia and Elena need to make a start by talking privately, candidly, and objectively about what their real problems are.

Accomplishing Real and Permanent Solutions

Artificial, temporary solutions are quickly recognized by individuals and will not be respected or supported. Only genuine resolutions that attend to the causes of the conflict will be supported by those affected.

In Sonia's case, a temporary solution such as transferring her to another supervisor most likely won't work, since it doesn't deal with the resentments and causes of poor performance that lie below the surface.

Achieving a Sense of Fairness and Satisfaction

It is important to those in disagreement that each party's view be given due consideration. Those who are in conflict usually have emotions and reasons that they believe deserve to be heard. They may have specific solutions in mind or they may not know what the best answers are. However, if a participant has an opportunity to express feelings and the rationale behind them and to suggest solutions if they are known, the individual will feel a sense of fairness to some degree. Even if the ultimate solution decided upon is not the one the participant preferred, the realization that his or her position has been heard and seriously considered normally helps to achieve better, more objective feelings toward the solution reached. This feeling of fairness and objectivity is likely to result in better resolution of conflict. When individuals and groups feel fairly treated, they are more likely to be satisfied with the solutions reached.

SOURCES OF CONFLICT

The sources of interpersonal conflict are numerous and varied, but problems tend to group themselves into general categories—problems based upon individual variances, difficulties resulting from perceptual differences,

and issues arising out of characteristics of the organization and functional differences.

Individual Differences

No two people are identical. People's temperaments vary. Some individuals are aggressive, others are passive, and still others are assertive. Some individuals are extroverted; others tend to be introspective and self-centered. Some people are highly ambitious and upward-bound, while others seek primarily to preserve and protect what they already have. One worker may want to work with other people, while another will prefer working alone. One individual will prefer independence in decision making, while another will seek out the opinions and ideas of others before acting. One worker may be able to withstand criticism and difficulty with a high degree of tolerance, while another may react emotionally at the slightest personal challenge.

The attitudes and actions of individuals also differ on the basis of background, involving educational, cultural, social, and ethnic dissimilarities. The differences in workers' backgrounds tend to influence the philosophical values of the workers. An individual's philosophy provides a set of guidelines or principles by which the individual's life is conducted. Because individuals' backgrounds are different, their philosophies tend to differ. Differences in philosophies will have a direct bearing on individual behavior and may be a significant cause of interpersonal conflict when incongruent philosophies interact.

One type of philosophical difference centers on styles of handling conflict. We will discuss conflict-handling styles in detail later, but for now you might look at the Personal Feedback Conflict Management Style Survey, which measures the most commonly used methods of dealing with conflict. The five possibilities are (1) avoiding it, (2) acting as a competitor and trying to win it, (3) acting as an accommodator and letting the other party win it, (4) trying to find a collaborative or win/win solution, and (5) trying to find a compromise. It is probably clear that someone with a competitor style of handling conflict will approach a conflict very differently from someone with an avoider or accommodator style.[4]

Conflict based upon individual differences (personality and philosophy) is often the most difficult type of conflict to manage as a result of its embedded, ingrained nature. Specific causes and effects may be obscured by circumstances and conditions.

Perceptual Differences

Individual perception is the conscious awareness of occurrences, events, or happenings in one's surroundings. As most people view the activities in

PERSONAL FEEDBACK
Conflict Management Style Survey

Instructions: Allocate 10 points among the five alternative answers given for each survey item. *Example:* When one of my subordinates becomes involved in an interpersonal conflict, I usually:

    _0_   a. Step in to settle the dispute.
    _3_   b. Call a meeting to discuss the problem.
    _4_   c. Offer to help any way I can.
    _2_   d. Don't do anything; they can handle it.
    _1_   e. I get each party to give in some to get some.
    10

1. When I observe conflicts in which anger, threats, hostility, and strong opinions are present, I tend to:
    _____ a. Attempt to help in working out solutions.
    _____ b. Become involved and take a position.
    _____ c. Try to soothe feelings to preserve relationships.
    _____ d. Act as negotiator to help both parties.
    _____ e. Mind my own business, if possible.

2. When I perceive other people as meeting their needs at my expense, I tend to:
    _____ a. Work to do anything I can to change that person's behavior.
    _____ b. Work to find a benefit for myself, also.
    _____ c. Do nothing, because helping others is important.
    _____ d. Work hard to focus on all aspects of our relationship.
    _____ e. Just ignore the situation.

3. When involved in an interpersonal dispute, I tend to:
    _____ a. Wait and hope the problem will work itself out.
    _____ b. Try to satisfy the other party's expectations.
    _____ c. Argue my case to show the merits of my position.
    _____ d. Win some and lose some.
    _____ e. Examine the issues between us as logically as possible.

4. The feedback I receive from people about how I behave when faced with conflict indicates that I generally:
    _____ a. Try to bring all concerns out in the open to find the best possible way.
    _____ b. Try hard to get my way.
    _____ c. Try to stay away from disagreements.
    _____ d. Am easy to satisfy and take an accommodating position.
    _____ e. Am a real "horsetrader."

5. The cliches I am inclined to use most often include:
    _____ a. "Let's split the difference."
    _____ b. "Leave well enough alone."
    _____ c. "Two heads are better than one."
    _____ d. "Kill your enemies with kindness."
    _____ e. "Might makes right."

6. When communicating with individuals with whom I am having serious conflicts, I tend to:

_____ a. Search for solutions we can both live with.
_____ b. Listen passively, often withholding personal opinions.
_____ c. Take time to tell my ideas and feelings and ask the other people for theirs.
_____ d. Try to overpower the others with my speech.
_____ e. Listen attentively, frequently agreeing with the other people.

7. When involved in an unpleasant conflict situation, I generally:

_____ a. Try to satisfy the needs of the other party.
_____ b. Try to integrate my ideas with others to come up with a joint decision.
_____ c. Propose a middle ground for breaking deadlocks.
_____ d. Avoid being put "on the spot."
_____ e. Don't hesitate to use my power to set things right.

8. A consequence of the way I deal with interpersonal conflict is:

_____ a. Others seem afraid to share their views and opinions with me.
_____ b. People complain about being unable to get my input on issues.
_____ c. Sometimes my constant bargaining seems to undermine the trust of others.
_____ d. My trust and openness are being overutilized.
_____ e. My ideals and concerns are not getting the attention they deserve.

9. When trying to resolve interpersonal conflicts, I have noticed that:

_____ a. I admit when I am wrong and know when to give up.
_____ b. I frequently see differences as opportunities for joint gain.
_____ c. I am comfortable using my authority.
_____ d. I find it relatively easy to make concessions and I tend to enjoy bargaining situations.
_____ e. I refuse to address issues I feel are inconsequential.

10. The qualities that I value the most in dealing with conflict would be:

_____ a. Neutrality and professional detachment.
_____ b. Compassion and tolerance.
_____ c. Maturity and openness.
_____ d. Strength and security.
_____ e. Cooperativeness and fairness.

their environment, they have a tendency to classify those events either as supportive and beneficial or threatening and derogatory. The perceptions workers have of the events that surround them in their work environment have a direct, important bearing upon the development or avoidance of conflict. When a worker views something in the environment that appears to be supportive or favorable, that occurrence will be accepted, but when an event appears to be threatening, there is an almost instinctive reaction to fight back, to resist, to attempt to master or overpower the threatening force. It matters not whether the perception is accurate or inaccurate. If the action or force is perceived to be threatening, tensions and resistances will build. This is seen frequently during performance appraisals. A supervisor may be try-

ing to point out a weakness and give pointers to improve performance. The employee may react defensively and negatively because, from the employee's perspective, the suggestions represent a threat, not help.

There are many events that are potential causes of the perception of a threatening situation, with resulting tensions and antagonisms. Some examples of perceptual differences that could lead to conflict include perceptions of:

1. *Loss of authority.* If a worker sees the actions of another as a threat to freedom and the right to act and make decisions, increased tensions and potential hostilities will usually result. Jurisdictional disputes often take place on these grounds.
2. *Role conflict.* If a worker perceives that the expectations and demands of others overlap, the demands may be resisted. For example, if a supervisor feels that the boss and subordinates are making incompatible, irreconcilable demands, the demands may be resented and will not be accepted. Recall ideas from Chapter 8 about role conflict, role overload, and role ambiguity.
3. *Unequal or unfair treatment.* If an employee feels that discriminatory treatment is favoring someone else, this negative perception will usually result in tensions toward the discriminator and sometimes against the employee being favored. Jealousy, in particular, precipitates conflict between individuals. In addition to the feelings of unequal treatment, the threatening actions of another worker may be perceived in a derogatory manner. A worker who senses an unfair penalty, an improper reward, or arbitrary actions from others may develop resentment and hostility.
4. *Status difference.* Every worker has a perception of personal position in relation to social standing, esteem, and reputation. When the actions of others are perceived to be a threat to self-perceptions, the actions and the sources of these actions will be fought against.
5. *Goal differences*. Each worker has a set of personal goals. Actions from others that are perceived to hinder fulfillment of goals will cause tension and resistance.

Organizational Characteristics and Functional Differences

Several organizational characteristics contribute to the development or avoidance of conflict. For example, the size of the organization can be a factor in conflict development. As the number of people increases in a department or unit of the organization, the individuals in one area lose touch with individuals in other departments. The people in each unit may come to think of themselves as separate from others rather than as a part of a team. All of this, of course, leads to individual thinking and actions.

Another characteristic affecting conflict is the method an organization uses for determining the financial performance of its units, departments, and divisions. Although there are many advantages to judging units on the basis of separate profit centers, this technique is more likely to result in competition between units. This, in turn, is more likely to lead to conflict. If the earnings of an individual are determined by the profit success of the individual's unit, an additional reason for conflict arises. When units are judged on the basis of total organizational performance and when individual earnings are shared based upon this performance, cooperation is more likely to occur.

The kinds of employees an organization hires can also affect the level of conflict. If an organization hires employees with specialized expertise in major numbers, the specialized individuals are likely to group together with similar personnel. For example, the small group of lawyers in a large organization is likely to develop a close-knit relationship, often to the exclusion of others. Remember the informal groups we talked about in Chapter 5. Individuals joined together because they had characteristics in common with other individuals. They sought to fulfill needs and protect values that were important to them. Sometimes their goals ran counter to the goals of other groups. This grouping is a very natural phenomenon. Individuals narrowly focused in their training are also less likely to understand and communicate with individuals with other skills and responsibilities. On the other hand, individuals recruited as generalists (no single set of skills) and those who share responsibilities for more than one function in an organization are more likely to have broad interests and more universal communication skills. Conflict is more likely to occur between specialists and others than between generalists and others.

The type and strength of external pressures can affect the level of conflict within an organization. Where there is great pressure from competitors or from the environment, for example, the people within an organization are more likely to pull together. When there are few or limited pressures, the individuals and units are not forced to work together.[5]

Conflict can result when the resources allocated to each worker seem inadequate to do the job. Competition may be fostered between workers to obtain shared resources. The authors remember a situation in which a large organization was preparing to open a new operation. A number of legal clearances were required, and that called for extensive typing of legal documents. At the same time, hiring and training of hundreds of new employees was also under way. Unfortunately, the typing pool that had been set up for the new operation consisted of only two typists. Needless to say, there was considerable conflict between the legal and personnel training departments as they vied for these scarce human resources. Return to the Elizabeth Reynolds case that started this chapter. Can Reynolds be thought of as a "scarce resource"? What effect would this interpretation have on your analysis of this conflict?

Conflict among workers may result when individuals are placed on a win-lose competitive basis for rewards (such as salary increases or promotions). When a worker recognizes that personal success is gained at the expense of another worker, the potential of interpersonal conflict is present.

Conflict may be encouraged by the functional duties of the workers. A production foreman who is being pressured by a supervisor (the production superintendent) to produce more units of the company's product may not concur with the recommendations of the quality control supervisor if achieving higher quality means producing fewer units. Goal incompatibility can be a very real problem between workers on a purely functional, accountability basis.[6]

Other possible organizational sources of conflict include unclear jurisdictions, communication barriers, the degree of interdependence workers have from one another, the degree to which consensus is required, and unresolved prior conflict.

For the most part, the pressures for performance and achievement set off the reactions resulting in conflict when organizational forces are involved. This recognition leads to an important observation: Conflict often arises when a worker sincerely is attempting to do the very best—when the worker is trying to perform to meet the worthy expectations that have been established. Conflict does not necessarily result because a worker wishes to be disruptive and destructive. Quite to the contrary, many individuals enter into conflict as a result of the pursuit of goals considered valuable and important. The recognition by managers of this important concept may cast a new light on the handling of some types of conflict. Over the years, a number of suggestions have been made for avoiding unnecessary conflict or directing a conflict that has already arisen toward a constructive resolution.

THE DEGREE OF CONFLICT DEVELOPMENT

Another factor to consider before we talk about methods of handling conflict is the stage of development to which conflict has progressed. Conflict that has just surfaced, for example, might be treated very differently from conflict that has continued for a long time. Phillips has designated five stages of conflict running from just-surfaced conflict to well-cultivated conflict (see Table 15.1). The first stage of conflict is that which has just begun. Phillips says that when conflict is first identified, it is usually easy to handle. The parties involved want to know why there are differences and what is the best solution possible. They believe resolution that will benefit everyone is possible. The parties freely exchange information and show respect for the values of others.

If conflict is not resolved in the first stage, the dispute stage follows. The parties consider that the possibility of successful resolution is somewhat di-

TABLE 15.1. Stage of Conflict Development

Stage 5	All-Out War
Stage 4	Limited Warfare
Stage 3	Contention
Stage 2	Dispute
Stage 1	Just Begun

Source: Adapted from Ronald C. Phillips, "Manage Differences Before They Destroy Your Business," *Training and Development Journal, 42*(9): 1988, 66-71.

minished. Egos become more of a factor. The hope now is that conflict can be handled so that the losses to the parties will be as few as possible. It is assumed that some losses may occur for everyone but that they can be held to a minimum.

If conflict resolution still has not been attained, the third stage begins. This is the contention stage, where win-lose is present. The whole process is designed to help the person who is "right" to win and the person who is "wrong" to lose. Parties exchange less information and begin to play dirty tricks on each other. Often, a third party enters the scene to select a "winner" and a "loser."

The fourth stage of conflict's progression is called the limited warfare stage. The goal is to diminish the adversary's power so that the individual is no longer a threat. Personal security is threatened by this struggle. Hurt, anger, disgust, and bitterness often result. Again, a third-party mediator will probably be necessary to resolve difficulties that reach this level.

The final, most severe stage of conflict is all-out war. Power positions have polarized so that individuals feel strongly about the issue and try to limit or completely dominate the opposition. Who gets hurt and who benefits are no longer important. Victory and justice are openly sought.

The stages of development are important because they determine the ease by which conflict can be resolved. Generally speaking, the early stages of conflict—the just-begun dispute, and contention levels—can be handled much more easily than the warfare levels. What this is saying is that the sooner conflict receives attention, the more likely harmonious resolution will occur.[7]

DEALING WITH CONFLICT

In general, people who come to situations of conflict with positive moods are likely to handle conflict in a better way. Individuals and groups with a

positive outlook tend to be more optimistic; they have hope for a good resolution of conflict. These same individuals are usually more forgiving of others and will use more creativity in seeking solutions. A positive mood triggers a more accurate perception of the arguments that others may present. Those who are in a positive mood tend to be more relaxed so that defensive barriers are lowered and listening is done more effectively.[8]

Many attempts have been made to describe the managerial responses that occur when conflict develops in organizations. Three of the most useful descriptions of techniques for handling conflict were created by Blake and McCanse, by Thomas and Kilmann, and by Robbins.

The Leadership Grid Approach

A very descriptive approach to managing conflict is provided in the Leadership Grid developed by Blake and McCanse (refer to Chapter 10 for the introduction of the Leadership Grid). If you will recall from the discussion about Grid leadership, the Grid consists of five different degrees of emphasis (on two nine-point scales) on productivity (task) and people orientation.

Each of the Grid positions represents a different philosophy and a different set of priorities. The 1,1 type of leader is afraid that performance goals and people-related efforts are in conflict; the supervisor's role is to remain neutral and not get involved in the struggle. The 9,1 leader has a primary concern for productivity. The 9,1's efforts are all directed at getting work done whatever the cost may be. The 1,9 leader has a low concern for performance but a high desire to have happy, satisfied people. Whatever makes people happy is what the 1,9 leader concentrates upon. The 5,5 leader has a moderate concern for performance and for human needs simultaneously. A middle ground is what the 5,5 leader seeks. The 9,9 leader believes that high performance results from the integration of task and human requirements. Through participation and involvement, the supervisor aims to attain high performance as well as a high level of satisfaction.[9]

The Thomas-Kilmann Conflict Mode

Before you read this section, take the Personal Feedback Conflict Management Style Survey if you haven't already done so. In keeping with the philosophy of the Grid, Thomas and Kilmann have identified five main conflict-handling styles by considering conflict management to have two components—assertiveness and cooperation. Figure 15.1 shows the new model that results.

PERSONAL FEEDBACK
Conflict Management Style Survey Score Sheet

	Avoiding	Dominating	Accommodating	Compromising	Collaborating
1.	e _____	b _____	c _____	d _____	a _____
2.	e _____	a _____	c _____	b _____	d _____
3.	a _____	c _____	b _____	d _____	c _____
4.	c _____	b _____	d _____	e _____	a _____
5.	b _____	e _____	d _____	a _____	c _____
6.	b _____	d _____	e _____	a _____	c _____
7.	d _____	e _____	a _____	c _____	b _____
8.	b _____	a _____	d _____	e _____	d _____
9.	e _____	c _____	a _____	d _____	b _____
10.	a _____	d _____	b _____	e _____	c _____
Total	_____	_____	_____	_____	_____

To check your scoring, each item added across all five styles should equal 10 and your totals should add to l00 points.

Then discover what your dominant style is according to which one has the highest score. The five dimensions used here are the ones described in the Thomas-Kilmann Conflict Mode.

Source: Pamela D. VanEpps and William P. Galle Jr., used by permission.

FIGURE 15.1. The Thomas-Kilmann Conflict Model
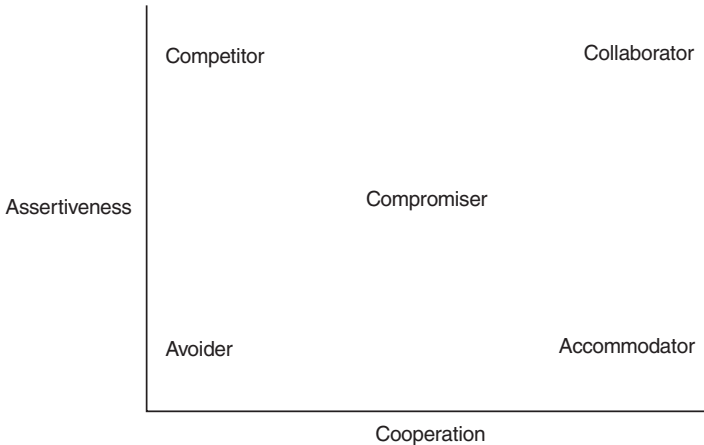
Source: Kennth Thomas and Ralph H. Kilmann. Adapted from "Conflict and Conflict Management," in Marvin Dunnette (Ed.), *The Handbook of Industrial and Organizational Psychology* (Chicago: Rand McNally, 1975).

Look over your results on the Conflict Management Style Survey. What is your natural conflict-handling style? Suppose you find yourself in conflict with your boss. Here are the ways you could use the different styles to handle the conflict:

- *Avoider:* You keep your mouth shut and don't express any dissent. Neutrality continues to be important. You keep a low profile and are at least outwardly compliant with the boss, making no demands.
- *Competitor:* You take a win-lose approach and fight to win your own points as long as possible. You would probably do this only if you believe the cause is important and your position is correct. In this case, you fight to win your own position.
- *Accommodator:* You avoid conflict by conforming to the thinking of the boss. You seek knowledge of the boss's position and never "go out on a limb" against the boss. You never give the boss any information that would be upsetting, and you try to keep the boss pleased and happy.
- *Compromiser:* You concentrate on compromises and tentative statements. To the boss you might state, "We could do this or we could do this. . . ."
- *Collaborator:* You confront conflict directly. You communicate your feelings as well as facts so that there is a basis for understanding and working through the conflict.

The approach to be used in handling conflict may be altered somewhat if you as a supervisor perceive conflict between two workers or between yourself and a worker. In such situations, as supervisor you can also utilize the authority of your own position to influence the resolution of conflict. Not every style involves the use of formal authority as a means of resolving conflict, but the following statements suggest some of the possibilities:

- *Avoider:* You don't get involved. You avoid issues that might give rise to conflict by not discussing them with subordinates.
- *Competitor:* You suppress conflict through the use of authority. You fear the disruptive effects of conflict on organizational achievement, so you beat down impending threats.
- *Accommodator:* You smooth over conflict. You attempt to encourage people to relax and forget about their troubles and suggest that some troubles have a way of disappearing or resolving themselves. You encourage those involved to "count their blessings" and be happy with what they already have.
- *Compromiser:* You split up parties in conflict and keep them separated, talking with each party individually. You discuss their positions and blend their ideas to reach a solution. You attempt to get

acceptance of the compromise, even if each party tends to be only moderately satisfied with it.

• *Collaborator:* You confront conflict directly and work it through at the time it arises. Conflict is accepted so that the clash of ideas and people can generate creative solutions to problems. Those involved are brought together to work through their differences.

The collaborator approaches conflict by bringing together the parties in conflict (this is the only approach in which the parties are brought together). The importance of both (or all) parties to the organization is stressed and the desirability of mutual cooperation and understanding is emphasized. This leader indicates a genuine interest in the parties individually and collectively. The collaborator attempts to inspire the participants to communicate fully the causes of the disagreement and the tensions felt in relation to the conflict. Individuals are encouraged to present and review all feasible alternative solutions to their problems. The emphasis is placed upon reaching a decision that will be most beneficial to the individuals in conflict and to the organization as an entity.

If the individuals seem to be sliding into a situation of pure compromise, the collaborator raises questions and issues to stimulate a more complete review of facts and the decision. The alternatives presented and the decision reached should be the agreed-upon choice of the parties originally in conflict. Only on this basis will the parties support the ultimate outcome. The role of the manager is one primarily of coordinator and stimulator. In many ways, this approach parallels the nondirective counseling approach discussed in Chapter 13.[10]

As an example of the collaborator, consider the Elizabeth Reynolds case at the beginning of the chapter. As soon as Aaron Slade accepted responsibility for the secretarial decision, he would call for a meeting between Wong and Powell. He might consider having Bright and Reynolds also attend the meeting. At the meeting, he would express his interest in each individual present as well as for the airline company. He would stress the role each person plays in the organization and the contributions each one makes to the organization and the team. He would restate the issue at hand, as he understands it, then ask for input. He would encourage each person to describe the problem as they see it.

Slade would serve as a facilitator encouraging everyone to talk openly about their needs and their perspectives. He would ask Wong and Powell not only to define the alternatives but also to evaluate them. He would seek to get a group decision reflecting what's best for each person and the organization itself. Slade would be actively involved to the degree necessary to get alternatives identified, reviewed, and decided upon. The more Wong and Powell do on their own initiative, the less active will be Slade's role.

Robbins' Approach to Conflict Management

In his description of managerial actions related to conflict, Robbins identifies nine possible responses: problem solving, development of superordinate goals, expansion of resources, avoidance, suppression, smoothing, compromise, authoritative command, and alteration of the behavior of one or more parties involved.[11] Some of the approaches are similar to those we've seen in the Leadership Grid or Thomas-Kilmann concepts. Avoidance, for example, is the same as the 1,1 or avoider techniques. Suppression and authoritative command attempt to keep conflict from surfacing as do the 9,1 and competitor approaches. Smoothing is similar to the 1,9 and accommodator methods. Compromise is the same as the 5,5—compromisor techniques. In Robbins' problem-solving approaches, techniques similar to collaborator and 9,9 positions are used. Robbins states that the scientific process is used as causes of conflict are identified and solutions are developed. Individuals affected by a decision are involved in making the decision. Conflict is avoided or reduced as people come to share common goals requiring combined efforts.

Robbins adds to previously undiscussed methods of dealing with conflict—expansion of resources and alteration of the behavior of one or more of the involved parties. Expansion of resources may be useful when it is possible to obtain more money, equipment, inventory, or whatever scarcity is causing conflict. Behavior alteration comes about when employee actions are changed by rising education, training, reinforcement, and so forth.

Mediation and Arbitration

Frequently discussed as management activities for handling conflict are additional procedures—mediation and arbitration. Mediation is sort of a cross between compromise and collaboration. It is similar to compromise in its result; it aims to bring about a middle-ground, mutually acceptable decision or solution. It is similar to collaboration in that people are brought together to talk about their positions and to find a solution. The manager's role in this is to act as a leader in bringing the parties and their views together. The leader does not make decisions for the parties involved. The parties themselves make decisions (with help from the leader).

Arbitration is unlike any of the concepts we've discussed. In arbitration, the arbitrator listens to all sides of an issue as the different parties in conflict are encouraged to state their positions. The arbitrator reviews the evidence and then makes a decision or agrees to a solution. Usually, the arbitrator's decision is binding for all individuals and groups involved.

Both mediation and arbitration are useful techniques in resolving management-union disputes as well as individual-to-individual disagreements.

CHOOSING AN APPROPRIATE APPROACH

The best approach selected from the five styles for dealing with conflict can be determined by factors in the situation in addition to the philosophical desires of the manager. The decision concerning the approach to use may be similar to the overall choice of leadership style discussed in Chapter 10 in connection with adaptive leadership. The choice of approaches will be dependent upon forces within the leader, within the other employees, within the organization, and within the task situation.

Thomas and Kilmann point out that there is no one best way to handle all conflict, since each situation is different. The manager needs to be able to use different styles and to use them at the appropriate times. Although the collaborative approach to the resolution of conflict has the potential for accomplishing all of the objectives outlined earlier in the chapter, it also requires skill and commitment to this approach from the manager. Executing it consumes a large amount of time. It demands maturity, patience, and tolerance from the participants. For example, if one of the other parties in a conflict is an extremely aggressive person who holds a win/lose (I win, you lose!) view of conflict, it may be necessary to adopt a competitive style to convince others that the manager is serious about what is wanted. It may also be most appropriate when the manager has better information than others have and when time is tight. Accommodating may be advantageous for political reasons. At times, by being accommodating now on an issue that is important to another individual, others may be accommodating later on future topics of more importance.

Collaboration, as we have defined it, involves meaningful exchange with the other party to the conflict. In this exchange, a win/win solution is sought—a solution that meets all of the needs of both parties. No wonder collaborating is time-consuming. Sometimes, however, collaborative solutions simply aren't possible, and important differences remain between the parties. At this point, the parties begin the kind of bargaining that, in effect, says, "I'll give in on this point, if you'll give in on that point." If a solution is found that both parties can accept, compromise has been effectively used. Thus compromise can be thought of as a style that can be employed when a collaborative solution isn't possible.[12]

A danger is that conflict-handling styles may be used inappropriately. Since the traditional position discussed at the beginning of the chapter views conflict as potentially very destructive, techniques such as suppression and authoritative command as well as the competing approach would all be very much in keeping with traditional procedures and practices. Since injury and dissension are feared, avoidance, smoothing, and compromise (or avoiding, accommodating, and compromise) might be used just to see that conflict is out of the way, even though solutions are only temporary. These techniques usually do little to deal with the actual causes of conflict.

The more contemporary view wants to get positive results from conflict. Conflict is viewed as an opportunity to direct energies and knowledge toward improvements in the organization. Problem solving and superordinate goals in particular are a part of the contemporary view. In the Thomas-Kilmann scheme, the collaborating view of conflict would be contemporary in its techniques.

Where problems exist that have available solutions (the resources, the knowledge, the skill needed for resolutions), the changes that will provide the necessary correction should be implemented. If conflict is over limited resources and more resources are available under acceptable circumstances, for example, the acquisition of more resources is desirable. If conflict is a result of an inaccurate perception, attempts to correct the perception are appropriate. If the worker's perceptions are accurately based upon an actual loss of authority, a real role conflict, unequal or unfair treatment, and so forth, the corrective action should be to modify the conditions so that the problem no longer exists. An employee who feels unjustly treated can file an appeal through the grievance process so that corrective and compensatory action can result.[13] In other words, conflict caused by issues needing resolution benefits from corrective action.

Some solutions to conflict cannot be identified, and some identifiable solutions cannot be accomplished. However, when the conflict resolution technique works for a mutual understanding and good intraorganizational communication is stimulated, many of the tensions may be softened. Team effort can replace some of the individualistic efforts that tend to separate rather than unify workers. The use of win-lose competition can be abolished in favor of competition that rewards "winners" but does not punish those who "lose." The problem-solving, superordinate goals, and collaborating leadership techniques all seem to work for what is best for the organization and for all of the people who are a part of it.

In his book on conflict management, Robbins goes one step further than the traditional and contemporary approaches. He suggests that the interactionist approach to conflict is appropriate today. Robbins sees conflict as absolutely essential for growth and change. He suggests creating conflict if necessary, but he expects conflict to occur naturally in vibrant, thriving organizations. His view (1) recognizes the absolute necessity of conflict, (2) explicitly encourages opposition, (3) defines conflict management to include stimulation as well as resolution methods, and (4) considers the management of conflict as a major responsibility of all administrators.[14] Few would argue with the fourth point; others would feel uneasy about the first three.

SUMMARY

Conflict and tensions may develop between people working together. Some people would encourage the creation of conflict so that an organization can grow and develop. Most people would not suggest the deliberate creation of conflict; many would say that conflict shouldn't be something to fear and avoid. The tensions resulting from conflict can be channeled and redirected toward constructive, positive results.

The model in Table 15.2 shows the many facets of conflict. Every organization should have predetermined goals for the handling of conflict when it occurs. The full identification of causes and feelings, the integration of ideas, a spirit of unity, real solutions that can be supported by the parties involved, and, at the appropriate time, the reduction of hostilities and tensions may be some of the planned goals.

Sources of conflict can be identified according to differences among groups and individuals: individual personality differences, background differences, perceptual differences, and organizational differences. The sources of conflict can usually be found within these many differences.

Another important matter in the management of conflict is the stage or degree to which the conflict has progressed. The most elementary (and usually the least developed) stage of conflict is the just-begun stage, followed in progressional order by the dispute, contention, warfare, and all-out war stages. Generally speaking, the less developed the stage of conflict, the easier the conflict will be to resolve.

TABLE 15.2. Components of Conflict Management

Goals for Conflict When It Arises	Sources of Conflict	Degree of Conflict Development	Methods of Handling Conflict
Identification of causes	Individual differences	Just begun	Avoidance
Redirection of tensions and hostilities	Background differences	Dispute	Accommodation
Integration of ideas	Perceptual differences	Contention	Competition
Unity through meeting of the minds	Organizational factors	Warfare	Compromise
Real solutions that can be supported by parties involved		All-Out war	Collaboration

Sources: Kenneth Thomas and Ralph H. Kilmann, adapted from "Conflict and Conflict Management," in *The Handbook of Industrial and Organizational Psychology,* Marvin Dunnette (Ed.), (Chicago: Rand McNally, 1975); and Ron C. Phillips, "Manage Differences Before They Destroy Your Business," from *Training and Development Journal, 42*(9): 1988, 67-71.

An array of conflict management techniques is available. In many ways, the collaborative approach, in which there is full communication and participative solution discovery, has the most to offer as a conflict resolution technique. Avoidance, competition, accommodation, and compromise are additional approaches.

Conflict, when it arises, demands attention because sources of tension left unresolved tend to smolder or fester until larger explosions occur.

QUESTIONS TO CONSIDER

1. Why is it so many managers and employees are afraid of conflict and attempt to avoid it at all costs?
2. Some authors have said that interpersonal and intergroup conflict will inevitably result whenever people must work together. Do you agree with this statement? Why or why not?
3. Is it ever wise to avoid getting the causes of conflict out in the open? Is it ever useful to avoid the issues conflict presents?
4. Is it possible to predict when background differences of individuals will be likely to result in conflict? If you answer yes, explain how this can be done.
5. Is it ever desirable to handle conflict in the competing manner? The accommodative way? The compromise approach? Support your answers.
6. Is it ethical to create a situation involving conflict to get individuals and groups to make changes? Explain your answer.
7. Role-play a situation in which conflict develops between a production manager and a sales manager over production requirements for the following month. The sales manager wants more units produced than the production manager believes is reasonable. How would a collaborative general manager handle this conflict?
8. Look again at the chapter opening case. How might the conflict that developed have been handled most effectively? Role-play the situation as an avoider, an accommodator, a competitor, a compromiser, and a collaborator regional sales manager might handle the situation.

CHAPTER CASE:
POOR SID ROSEN—
THE ENGINEER AND MANAGER

Your education is complete; you have graduated from college. You get what appears to be a real break: You are hired by Monmouth Incorporated, a major defense contractor. The federal government has shown a new interest in the Star Wars defense system and is pumping new money into the pro-

gram. At Monmouth, this new effort means an enormous amount of management training. Literally hundreds of engineers and highly trained technicians—many of whom know nothing whatsoever about management—are being trained as managers to head up various aspects of the work.

Your boss, the vice president of personnel and human resources, explains your job as follows:

> We know, of course, that you're not an engineer, and that's not what we expect. What we need is what we call a "big ear"—someone to visit on a regular basis with our newly trained managers, listen to their problems, and give them on-the-job training in the form of suggestions and ideas about how to manage as they get started on their new jobs.

You feel a bit intimidated about trying to counsel all of these superbright, highly trained people, but you set out to give it a try.

Your first new manager to counsel is Sid Rosen. When you enter Sid's office, your first instinct is to run out screaming. The whole situation is intimidating, to say the least. The office looks like a mad scientist's workshop, with piles of paper, graphs, computers, and incomprehensible formulas everywhere. You are nervous about saying the first word to Sid. He, too, looks like the stereotype of a mad scientist—wild, scraggly hair, disheveled clothing, and an aloof, distracted gaze that makes you fear that you are interrupting a great thought simply by entering the room. It takes very little time, however, for you to discover, much to your horror, that first impressions mean almost nothing where Sid is concerned.

Sid's subordinates have complained to you that Sid is incompetent. Even ten years ago when Sid graduated, his engineering skills were not very good; apparently he's been afraid to upgrade them. By now he's not only a poor engineer but also ten years out of date. One of Sid's subordinates moans:

> How he ever got the job, I'll never know. You can't imagine what it's like working for someone like that—none of us respects him, and most can't stand him. And we really need help. This project is vital, and we really have no idea how to approach some of the most critical engineering features of it. Needless to say, Sid's worthless as far as giving the direction we need is concerned. Our only hope is that maybe top management is getting wise to him. After all, you're here; we're hoping you'll get word back on how bad things are.

You explain that you're there as an impartial party but that you hope to help them all. Then you sit down for a private talk with Sid. You feel a certain sympathy for Sid. It's clear he feels lost. He states:

> I know everybody thinks I'm a total incompetent, and I admit that I've gotten a bit rusty. But it's not just that. For one thing, I have no power. What can I possibly do to the high-priced, highly trained specialists who report to me? I surely can't fire them, that's for certain.

In fact, you discover that Sid tries to be everyone's buddy. He tries to encourage coffee breaks and bowling matches to promote friendly relations among the group but finds the group is much more interested in getting the job done. Furthermore, Sid is reluctant to give any direction—even on the rare occasions when he has a good idea.

A good example of Sid's ineptness is a recent discussion Sid had with Tammi, a highly specialized expert in sound transmission systems. Tammi insisted that there was only one solution—*her* solution—to a problem involving voltage regulation for the sound system under design, virtually undoing much work that had taken months to complete. You sense that Sid didn't really agree with her, but Sid's only comment was, "Well, if you say so, we'll have to respect your professional opinion." From the grumbling you hear later, you begin to believe that Tammi was wrong and Sid was right in this instance. When you try to discuss the matter with Sid, he admits that he really wasn't sold on Tammi's idea but felt it was best to just go along with it.

By this time, you're really getting concerned about Sid and wonder what to do.

Case Questions

1. Using concepts from this chapter, what are the sources of conflict in this case?
2. According to the Thomas and Kilmann Model, what kind of conflict approach did Sid use?
3. What kind of approach should Sid have used in this situation?
4. What was the role of perceptions in determining your initial reaction to Sid? Explain in terms of theory.
5. What problems does Sid have in terms of power? Be specific, draw on theory, and make recommendations.
6. Sid's subordinates are clearly dissatisfied and want to get their concerns known at higher levels. What advice would you give them based on what is known about communication? What advice would you give based on politics?

GLOSSARY

collaboration (nine, nine—9,9—conflict handling): A technique for achieving positive results from conflict through bringing together people with dis-

agreements, encouraging open discussion, confronting differences, and seeking outcomes beneficial to the parties as well as for the organization.

contemporary view: An attitude that considers conflict to be inevitable when people work together. The role of the manager, therefore, is to attempt to turn conflict into desirable consequences with constructive results for the organization and its people.

functional duties: In this context, sources of conflict result from varying job responsibilities, disputes over access to limited resources, intraorganizational competition, and goal incompatibility related to the job being performed.

individual differences: In this context, variances in temperament, background, and philosophy of employees are seen as sources of conflict.

organizational characteristics: Sources of conflict resulting from size, departmentation, spans of supervision, and other structural factors.

perceptual differences: In this concept, perceptual differences are assessments individuals make about the authority they possess, the roles they play, treatment they receive from others, the status they possess, the rights that accompany their status, and the goals being pursued that may be construed in ways that would put individuals at odds with one another.

problem solving: Terminology used for the technique of managing conflict in which causes are identified, alternative solutions are sought, and a course of action believed to be optimal for everyone is chosen.

smoothing: A technique for handling conflict in which common interests are talked about but discussions of differences are avoided so that conflict is minimized.

superordinate goals: A way of avoiding, reducing, or handling conflict in which the sharing of common purposes unifies the efforts of the parties involved.

traditional view: An attitude toward conflict that anticipates that each situation of dispute and disagreement can have only bad results. Since this is expected, conflict is considered to be something to avoid or eliminate.

Chapter 16

Stress and Other Problems

OBJECTIVES

- To identify potential stressors (factors contributing to the development of stress)
- To learn how the overload-underload concept of stress works
- To identify personal characteristics and traits that influence how an individual will react to stress
- To learn ways to cope with stress and to make productive use of it
- To identify your own personal level of stress
- To identify and evaluate the impact on organizations of alcoholism and drug abuse
- To review techniques presently being used to deal with alcohol and other drug abuse problems

A CASE TO CONSIDER:
WHO HAS STRESS, ANYWAY?

"I'll admit that 8:30 on a Saturday morning is a strange time to ask my three oldest friends to come over for coffee and talk," comments Lindsey Ferrara, "But this is the *only* time we could get together, and I need help fast!"

Lindsey is a young registered nurse in the intensive care unit of Metropolitan Hospital who has been jarred into reality by a comment her shift supervisor had just made. The comment was something like, "Lindsey, are you feeling okay? I've noticed for several days now that your performance just hasn't been up to standard. What's the problem?"

Lindsey's only explanation was that she just hadn't been feeling well recently. As she drove home from work, she realized that she has been feeling depressed and discontented. For several months, she has sensed this feeling creeping up on her. Maybe she needs to take a vacation and get out of town for a few days. Maybe she should get a physical examination. If she could just sleep better, everything else might look brighter.

Lindsey is a very conscientious member of the intensive care team at Metropolitan. She began work in the ICU when she graduated from nursing

school and became a qualified RN almost three years ago. She was originally attracted to intensive care because she recognized the impact she could have on other people's lives. She immediately found her work to be gratifying. In the past few months, however, she hasn't felt enthusiastic about her job—or anything else. She always seems to be tired, physically and psychologically depleted. Her job seems so demanding.

"I just don't know where to turn next," she says to Jill, Buddy, and Fred. "I know you have problems of your own, but you're the only people I can really talk to. After all, we've been close friends since high school and have gone through a lot—good and bad—together. What's wrong with me, anyway? I never used to be like this. I was a carefree, happy-go-lucky person. But now. . . ."

Jill knits her brow and tries to concentrate. But it's hard. She *does* have problems of her own. Jill was promoted two months ago to district manager for marketing in a large consumer products company. Since her promotion, Jill's life has changed considerably. Before the promotion, her job seemed simple—she was merely responsible for contacting customers and selling them the company's offerings. Now she has many decisions to make—important decisions that involve big money. Her job entails developing an advertising budget, analyzing markets to determine new territories for expansion, and hiring new personnel. Her nights and days are fraught with apprehension.

"Am I doing the right thing? Will I succeed or will I fail? If only I had someone to talk to who understands marketing!" These are the thoughts flooding Jill's mind as she tries to concentrate on what Lindsey is saying.

Buddy's dilemma is just the opposite. His job as corporate accountant for a building supply company is so boring that he can hardly make himself go to work each day. When he graduated from a university two years ago with an accounting degree, he was eager to apply his knowledge and develop his abilities. He took what he felt was a job with a great deal of promise with a new, growing company. Buddy has been with the same business since graduation, and all he has been assigned to do has been simple bookkeeping work. He's had no opportunity to make decisions, implement new procedures, or use his training in any constructive way. He hates going into the office. But there's an economic slowdown in the area, and opportunities in other firms are simply nonexistent.

"I guess I'm a fool not to pack up and move somewhere else—somewhere with better opportunities. But what about my family? The folks are getting older, and they need help. My sister is ill. I can't just walk out." These are the thoughts on Buddy's mind as he listens to Lindsey.

Fred is a draftsman in a large manufacturing organization. He is very confused and frightfully hesitant about his boss. One day, the boss will be very open and supportive in his dealings with Fred; the next day, the boss will be very autocratic and restrictive toward him. As a result of the inconsistencies

and the sometimes very negative actions of his boss, Fred has become increasingly reluctant to show any initiative and indeed has stopped almost all activities except those demanded by his boss on a given day.

"There are times I'd just like to punch him in the jaw," thinks Fred as he tries to concentrate on what Lindsey is saying. "But I can't. Everyone says I've got a super job in terms of money, prestige, benefits. . . . I can't just walk out on something like that—or can I?"

Case Questions

1. From the details given in the above paragraphs, what clues are available concerning the probable cause of Lindsey's performance and feelings about herself and her job?
2. What can Lindsey do at this point that would be constructive and beneficial? What can her supervisor do? What can her friends do?
3. What about Jill, Buddy, and Fred? How are their problems similar to Lindsey's? How are they different?

* * *

What do Jill, Buddy, Fred, and Lindsey have in common? Although their jobs and work circumstances are very different, they are all in a position in which stress has come to be a dominant factor in their jobs. Job stress has been defined as a situation wherein job-related (or external) factors interact with a worker to change the employee's psychological or physiological condition so that the worker is forced to deviate from normal functioning.[1]

Stress has become a major element in the work lives of many employees. Negative stress occurs when circumstances and characteristics of the job environment are perceived as a threat to the individual.[2] It usually evolves when demands are made on an individual beyond that which the employee feels capable of meeting. Stress and its related problems are estimated to cost businesses more than $150 billion annually, mostly in health insurance disability claims and lost productivity.[3]

THE CAUSES OF STRESS

The stress process has several components. The unit in which stress builds, of course, is the individual employee. Each employee brings unique characteristics to the job, and these individual facets determine in part how the individual will respond to stress. Individuals bring to their work such factors as personality traits; physical conditions; feelings about self; experiences with family, friends, and the community; age; and education. Each of these individual characteristics affects how a person responds to stress.

Type A and Type B Personalities

One approach to personality definition suggests that the Type A personality responds with more agitation to stress than does the Type B personality. The approximately 40 percent of the population who are Type A tend to be explosive in speech, live at a fast pace, be impatient with slowness, be self-preoccupied, be dissatisfied with life, make all situations into competitive events, and have free-floating anxiety. You may have experienced free-floating anxiety yourself at some major stress point in your life—during an unusually heavy exam period, for example. Such anxiety is characterized by depression and worry not related to any specific thing. It may shift from one thing to another; you feel anxious and upset but can't really say why.

Type B personalities are inclined toward less overreaction, less desire to compete, less status consciousness, and less insistence on recognition.[4] Needless to say, the Type A personality has more problems dealing with stressors than does the less aggressive Type B individual. While Type A's move ahead rapidly in organizations, they may pay later through increased physical problems, including heart trouble.

Are you a Type A or a Type B? Before continuing, complete the Personal Feedback exercise to find out.

Health As a Factor

Although stress may contribute to health problems, the status of an individual's health may influence a person's reaction to stress. Studies have shown, for example, that anxiety levels seem to be higher in individuals with health problems than in individuals who are in good health. Cause-and-effect sequences are not always clear, but it has been shown that people in good health are more likely to maintain low heart rates under stress than are individuals in poorer physical condition.[5] Good physical health seems to be an ally in combating stress symptoms.

The Importance of Self-Concept

The esteem with which an employee regards himself or herself may also influence an individual's response to stress. Normally, the individual who possesses a positive self-concept will find stressors less threatening than will the individual with a low self-perception.[6] With positive self-perception comes confidence of one's abilities to cope with challenges and problems. When threats occur, the potential harm is received with less fear by the person with a positive feeling about personal abilities and strengths. Individuals who already consider themselves vulnerable will find pressures from stressors to be even more threatening. Look especially at Buddy and Fred in the opening case. What threats to their self-concepts are present?

PERSONAL FEEDBACK
Type A-Type B Test

Indicate your level of agreement with each of the following statements:

5 means you strongly agree that the statement describes you
4 means you agree that the statement describes you
3 means you feel the statement is somewhat characteristic of you
2 means you disagree that the statement describes you
1 means you strongly disagree that the statement describes you

_____ 1. I get impatient if the car in front of me doesn't move quickly when the light turns to green.

_____ 2. I leave the door to my office or room open when I am working.

_____ 3. I willingly volunteer for new assignments and accept all of those given to me.

_____ 4. I find myself completing sentences for people around me who talk slowly.

_____ 5. I eat very rapidly.

_____ 6. I am happier when I'm working than I am when I'm relaxing.

_____ 7. I do two things at a time, such as using my electric razor while eating or driving.

_____ 8. I get impatient when watching people do things that I can do faster.

_____ 9. I grind my teeth or clench my fists often.

_____ 10. When I'm playing sports such as tennis and golf, I think about my work frequently.

_____ 11. I like to take charge of conversations.

_____ 12. I seldom look at paintings, plants, and other accessories in offices.

_____ 13. I don't read things outside of my occupational field except summaries or condensations.

_____ 14. I don't like to wait in lines such as those encountered while waiting to be seated at a restaurant.

_____ 15. I find it difficult to let other people do things I can do for myself.

Add up the total points to get your score. Your score can then be interpreted as follows:

15 to 25 points = Mild Type B
26 to 50 points = Moderate Type A
51 to 75 = Type A

Experiences with Family and Friends

If experiences with family or friends are supportive and constructive, the individual who is exposed will be able to react favorably to stressors, while the individual who has primarily negative, nonsupportive experiences with family or friends will find stressors to be more destructive and upsetting. Family and friends can act as a source of support to sustain and encourage when threats come along. By the same token, unsympathetic, indifferent rela-

tives and peers can weaken and make an employee even more vulnerable to the pressures in the workplace. Absence of encouraging relatives and friends can result in lack of support during periods of stress.

Recent family and friendship experiences are of particular importance. Also, changes in relationships have a major impact.[7] You've probably noticed, for example, how helpful it is to have friends and family to lean on when things aren't going well. Have you ever noticed how students congregate and compare notes after a particularly difficult exam? This venting of feelings with others in the same situation can provide a meaningful release valve in times of stress. That certainly is the situation with Lindsey in our opening case. We can only hope that her friends aren't under too much stress themselves to be able to provide the sympathetic ear she needs.

Age and Education

Although the age and the level of education of an employee have been researched less than most other factors, it is felt that the two factors do have an influence on an individual's response to stressors. Studies conducted some years ago, for example, suggested that people in some age groups are more likely to develop high blood pressure when stressors are applied.[8]

Education can either benefit or handicap. The highly educated individual in a job demanding highly polished skills and technical abilities may respond well to stressors, while underprepared individuals might crumble under the pressure. It is possible, of course, to be overeducated for some jobs—a factor that could result in increased pressure. The lack of challenge can result in boredom, which may in turn lead to stress. For example, when we discussed Buddy's dilemma in our opening case, you may have noticed that underemployment was a factor. During hectic days at work, many of us might dream of having a job that makes no demands on our skill or our intelligence, but continually working under slow schedules can be just as stressful as working in a high pressure job.

As all of the above factors indicate, the state (conditions, characteristics, and circumstances) that an employee brings to the workplace will affect responses to stressors. Some individuals obviously will be more immune to stressors, while others will be more vulnerable.

Stressors—What They Are, Where They Are, and What They Do

Stressors are around each of us most of the time. A negative stressor is any condition or circumstance that an individual encounters that seems to threaten the physical or psychological well-being of the individual. As Holmes revealed in his well-known Life Change Index Scale, the threat of change surrounds all living beings regardless of whether the individuals are

in work organizations (see Table 16.1). In Holmes's index, the impact of each stressor is measured as it relates to other stressors. The death of one's spouse is calculated to have the biggest impact. However, you may have noticed positive events, such as vacations, are treated as stressors on the scale. Although it's true that negative events such as divorce or financial problems are the ones that we usually think of as stressors, positive events can be too. In fact, anything that causes a jolt to an individual, whether positive or negative, contributes to stress. Family circumstances largely dominate the list, indicating that when people come to work, stresses and strains already exist for most of them.

Job-Related Stressors

One of the most popular approaches to the identification of job-related stressors is the overload-underload method. According to this technique, each employee has a comfort zone in which demands made from a job's climate and environment are perceived as neither dangerous nor threatening. For example, a job with a "reasonable" amount of mental challenge may not be threatening to an employee who wants a mentally demanding job, so long as the demands remain within comfortable limits. These suitable boundaries become the comfort zone.

Overload occurs when the job becomes too demanding in its mental requirements (thinking, planning, decision making, etc.). When a job has little or no mental requirements, the employee can face underload. Albrecht suggests eight factors that can become stressors as a result of overload or

TABLE 16.1. Selected Items from the Holmes Life Change Index Scale

Event	Points on Stress Scale
Death of spouse	100
Divorce	73
Major personal injury	53
Marriage	50
Retirement from work	45
Pregnancy	40
Changing to different kind of work	36
Son or daughter leaving home	29
Troubles with boss	23
Vacation	13

Source: Adapted from Thomas H. Holmes MD, Life Exchange Index Scale, School of Medicine, Seattle, Washington.

underload, and others have been added to the list (see Figure 16.1).[9] The areas of potential stress defined by Albrecht include workload, physical variables, job status, accountability (or significance of task), task variety, human contact, physical challenge, and mental challenge. Other factors that may be added to this group are autonomy and role ambiguity, or role demand.

No two jobs have the same degree of potential stress. By the same token, no two individuals have the same comfort zone. Some individuals can tolerate more pressure than others and, as a result, have a larger comfort zone. Under differing conditions, those who can normally tolerate stress may not be able to handle it.

Workload includes the number and complexity of tasks an employee must perform to fulfill job responsibilities. An overload in this area means that an individual has either too many tasks or tasks that are too complex (or a combination of the two) to accomplish in a given period of time. An underload would be a situation in which the tasks performed were too few or too simple (or both) to keep the employee feeling useful and worthwhile. Ei-

FIGURE 16.1. The Comfort Zone, Potential Stressors, and Overloads-Underloads

Comfort Zone for Potential Stressors

1. Workload

2. Physical Factors (heat, noise, etc.)

3. Job Status

4. Significance of Task

Stressor Overload

5. Autonomy

6. Task Variety

7. Human Contact

8. Physical Challenge

9. Mental Challenge

10. Role Ambiguity (Role Demands)

Stressor Underload
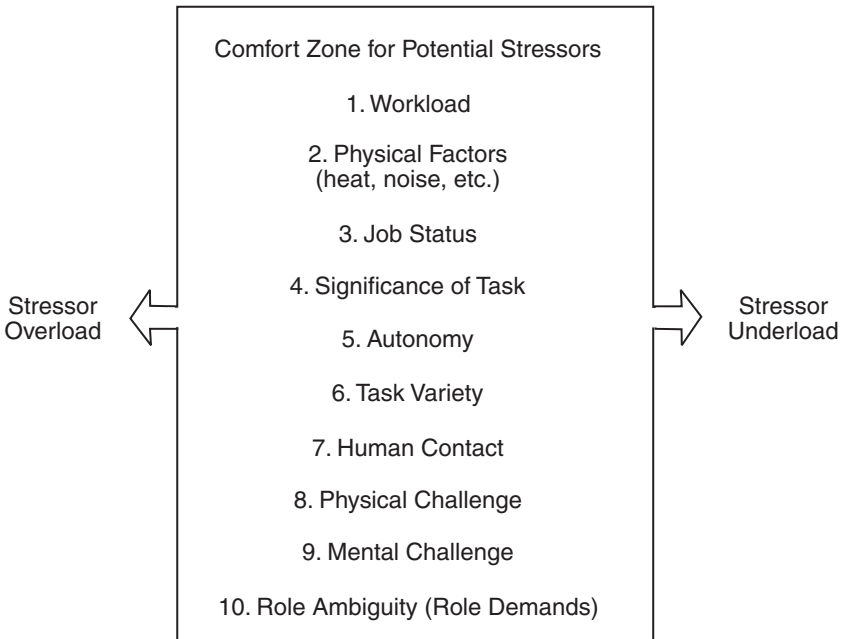
Source: Karl Albrecht, *Stress and the Manager,* 1979, includes eight of the ten items shown.

ther overload or underload can cause stress to occur. Look back at our opening case. Consider Lindsey's and Jill's situations and compare them with Buddy's situation. Notice that although they are in very different situations, all three are showing signs of stress.

Workload can also be considered in the context of the number of hours worked daily, weekly, and so forth. Many people work significantly beyond a forty-hour workweek; the more these people work, the more they are prone to stress. Entrepreneurs—in particular, small business owners—put in long work hours. One study showed that most new business owners as a group put in more than forty hours a week. Only 23 percent of the owners worked fewer than fifty hours weekly; 23 percent worked fifty to fifty-nine hours; 28 percent worked sixty to sixty-nine hours; 13 percent worked seventy to seventy-nine hours; and 12 percent worked eighty or more hours a week.[10] Working such long hours can impact personal health, family life, and many other important things.[11]

Status is the social rank given to a person or given in relation to other persons or things. Job status is the rank or value assigned by individuals in an organization to each job or set of work responsibilities. High-status jobs are those that command much respect or attention, while low-status jobs are considered to be beneath the social recognition given to most other jobs. Usually we think of low status as a stressful condition; and low status does tend to be a stressor for most individuals when they fail to win respect from other employees. Extremely high-status jobs may be stressful, too, as high-status employees struggle to keep the status of their jobs and to fulfill obligations related to a high-status job. Fred, in our opening case, is feeling some of those pressures.

Accountability has been divided into two factors—significance of the task and autonomy—in this chapter. Significance of the task refers to the effect an assignment has if it is performed properly. A job that involves the issue of life or death, such as that of a brain surgeon, would have a high level of task significance and could result in stress overload. A task that makes little difference if performed or not performed might be considered low in task significance. It is easy to see how low significance can lead to pressures of boredom and a lack of meaningful contribution.

Autonomy is the degree to which a job provides freedom, independence, and discretion to the holder so that decisions, schedules, and procedures can be self-determined. A job that has been delegated completely to an employee would be high in autonomy, whereas a job that is closely supervised and constantly evaluated would be low in autonomy. Overload might occur when an untrained worker is left alone in a challenging job, while underload could occur when an experienced worker serves under a prying, very autocratic boss who dictates every move. Look again at Fred's situation in our opening case; autonomy is certainly a factor here.

Task variety is exactly what its name suggests—the degree to which a job provides the opportunity to perform different, dissimilar duties. A completely repetitive, rather short-cycle job would perhaps create a stress underload, while a job that is constantly changing and completely unprogrammable could result in variety overload.

Human contact as a potential stressor can be defined as the regularity with which a job provides the opportunity for interaction and affiliation with other people. A certain amount of contact with others is necessary for most individuals so that messages, support, and psychological stroking can occur. An isolated job providing no opportunity to relate to other people might result in a human contact underload. A job with constant interaction to the point that privacy is never possible might cause an overload.

The physical challenge of a job is determined by the position's demand for dexterity, physical skill, endurance, strength, risk of danger, and opportunity to use tools and equipment. A job with a combination of requirements for strength and endurance could result in an overload. Physical underloading would be void of physical activity or danger (which may not cause a significant stress problem in some people).

The mental challenge of a task relates to the degree of thought and deliberation an employee must perform. Jobs that require much observing, evaluating, interpreting, and decision making might be prone to an overload, while a completely mechanical, no-decision type of job might cause an underload.

Role ambiguity involves uncertainty about what others expect of an individual in terms of scope of responsibility, the amount of authority, methods that will be used for evaluation, degree to which company rules must be followed, and expectations of informal groups. If responsibility, authority, role definition, and informal expectations are poorly described, this can lead to role ambiguity underload. If the role is specifically prescribed to a high level of great restriction, this would be an overload of job definition.

Other Stressors

Other experts offer additional stressors. Johnson and Indrik state that stress is a product of uncertainty, perceived control, and emotional level. The more uncertainty (ambiguity, complexity, information unavailability, lack of perceived control, and unpredictability of the boss), the greater the probability that stress exists.[12]

Others suggest that emotional exhaustion, depersonalization, and the level of feelings of personal accomplishment also contribute to stress. Emotional exhaustion is an internal thing that leaves the worker psychologically (and perhaps physically) drained. A worker who is emotionally exhausted is especially vulnerable to the effects of stress.

Worry seems to be a major source of stress; fear seems to be a basic element of worry. The fear that something bad is about to happen and/or that the

individual will be unable to cope with whatever comes along is what fear is all about. Fear may come out of bad previous experiences, the inability to put the negatives of the past aside, or the thought processes in which old failures are replayed with "what if" considerations, just to name a few sources.[13]

Depersonalization refers to the viewing of workers, clients, supervisors, and employees more as numbers or robots than as individuals. Once an employee becomes only a Social Security number or a patient in a hospital becomes "the kidney in room 609," stress is more likely to build than if individuals are known personally and are treated with respect. Feelings of low levels of personal accomplishment leave an individual with feelings of low self-worth.[14] On a daily scale, interruptions by telephone, by employees, by colleagues, and by others can also be very stressful, as they hinder the employee's productivity.[15]

WHAT HAPPENS
TO THE PERSON UNDER STRESS?

In reality, more than one stressor is usually at work at a given point in time. The individual employee, with a personal set of conditions and circumstances, is thus impacted by more than one stressor. The strength of the stressors and the degree of the comfort zone combine to determine the individual's first reactions to the presence of stress. Involved is the employee's perception of the stressors and the possible consequences that may result or the damage that may be received from the stressors. As discussed in an earlier chapter, the interpretation of events or conditions is important from a behavioral point of view. The interpretation of the strength of the stressors and one's own ability to deal with the stress will largely determine the resulting consequences.

Look back at what Lindsey Ferrara in our opening case said. Lindsey is now in the first stage—she has perceived stress and is feeling its consequences. Notice that she had been under stress for a while before perceiving it. Now her ability to cope will be critical.

As soon as the perceptual process is accomplished, the first consequences and reactions are set in motion. These effects may continue unless adjustments and other coping measures are utilized. The initial personal consequences have been divided into three categories: psychological health, physical health, and behavioral consequences. Some psychological responses to stressors include anxiety, tension, depression, anger, boredom, mental fatigue, low self-esteem, repression, and inability to concentrate. Physical consequences sometimes are the development of health complications, such as cardiovascular and gastrointestinal disorders, headaches, skin disorders, and physiological fatigue. Behavioral effects might include drug use, overeating or undereating, aggression, theft, vandalism, and poor interpersonal relationships with others.[16] The em-

ployee may be absent or tardy more frequently, have more difficulty making decisions, miss deadlines, forget appointments, and make more mistakes.[17]

The impact of stress on the individual also takes its toll on the organization in which the individual works. Effects on costs, efficiency, quality, and quantity may all be observed in relation to productivity. Strikes and grievances may increase. Absenteeism and turnover may become high. Health care costs and workers' compensation payments may go up. The price of goods and services sometimes must be raised.

If allowed to continue without coping responses, the initial consequence can result in serious, permanent damage. Normally, the individual under stress undertakes procedures to reduce the negative impact of the stressor(s) and perhaps to turn the experience into a positive encounter.

COPING METHODS
FOR DEALING WITH STRESS

The coping mechanisms used by the individual may take two directions. First, the individual can attempt to increase personal tolerance of stress by expanding the comfort zone so that stressors will have less impact. The majority of personal coping techniques used today are attempts to expand the tolerance zone and to increase the individual's capacity for controlling stress. Comfort-zone and capacity-increasing techniques include physiological efforts such as getting more rest, improving one's diet, and increasing the level of physical exercise. Perhaps, in our opening case, Lindsey's body is trying to tell her something. Psychological procedures can include meditation, increased spiritual activity, better planning of daily activities and responsibilities, the changing of personal values (such as the acceptance of less-than-perfect performance and reduction of psychological importance of work), the management of personal desires and ambitions, and the setting of more realistic goals. Other people can be called upon for support. The learning of relaxation techniques and the use of feedback require both physical and psychological involvement.

Relaxation therapy is a technique for both widening one's comfort zone or tolerance for stress and improving the ability to cope with stress when an overload or underload is present. Through a process of self-awareness, the body's muscles can be monitored and levels of relaxation, rather than tension, can be provided. While biofeedback can help in the monitoring process, self-analysis also can be achieved. Relaxation, thus, can be secured to handle potential stress conditions more effectively or relaxation can be reached as a postencounter combatant.

One form of relaxation, for example, involves a breathing exercise. Start by finding a comfortable position either lying down or sitting. Become aware of parts of the body, beginning with the top of the head, then the fore-

head, lower jaw, the neck, shoulders, arms, hands, back, hips, thighs, calves, ankles, feet, and then the toes, releasing and relaxing tightened muscles wherever they are found. Practice letting each muscle go limp.

Once this is accomplished, begin concentrating on your breathing. Take a deep breath by inhaling through the diaphragm. Expand the lower level of the respiratory system first, and then gradually let the lungs and chest fill by enlarging from the bottom to the top. Let the upper chest be the last part to expand (to the point that the shoulders feel the extension themselves). Hold your breath as long as reasonably comfortable, then exhale, letting the upper part of the chest sink first, then gradually let the air move out of the midchest area. Finally, let the diaphragm relax completely. Rest in the relaxed position before beginning the breathing process again. Start the expansion of the lower chest-abdomen area first; spreading slowly until the chest is fully inflated again. And so the process goes.

Concentration on breathing is the key. Each deep breath should be counted. If the cycle is done properly, the count will soon become vague and will eventually be lost. Once this state of relaxation has been achieved, continue for several moments.

When the time available has been expended, begin to move rather slowly. When you are fully mobile, you should feel very rested, ready to move back into the day's activities with vigor.

Second, the individual can seek changes in the demands and pressures of the job so that the strength of the stressor(s) will be reduced. Unrealistic time schedules can be negotiated toward more feasible periods. Duties can be delegated to others. Greater use of staff support can be sought. Clarification of ambiguous information can be pursued. Jobs in keeping with abilities can be matched.

HOW MANAGERS AND CO-WORKERS CAN HELP

Ideally, individual employees will receive help from those who are their employer. Organizations can assist individuals in the expansion of comfort zones and stress tolerance levels through the provision of health services and exercise facilities, better communication of information, career-path planning, the use of teamwork, and the encouragement of interpersonal involvement. In our opening case, Jill is in special need of this kind of assistance. Stressors can be reduced by redesigning jobs, changing the authority and responsibility relationships, modifying work schedules, making changes in evaluation and reward systems, matching individual abilities with job requirements, and providing training for skill development.

Supervisors, staff specialists, policymakers, colleagues, and training officials may be key individuals who can alter some of the stressful conditions

as well as provide personal support to the individuals under pressure. Some of the organizational alterations can take place before stressors act so that the potential stress "bomb" can be defused before the pressure builds.[18]

Notice that the manager has a key role as the person who may recognize stress in employees. Recall that it was Lindsey Ferrara's supervisor who first recognized signs of stress in Lindsey. There are other things an employer can do to provide personal help. Securing time to consider alternatives can be helpful. Planning adequately before something takes place or a duty is fulfilled can be stress reducing. Working to build a team effort may lessen stress as responsibilities and accountabilities are shared.[19]

Help for coping with stress at work can come from individuals and groups outside the organization. Counselors especially trained in methods for overcoming negative effects of stress can help to widen an employee's comfort zone. Family members and friends can provide psychological and social support and nurturing. Physicians and psychologists can provide technical assistance, resulting in physical and psychological strength. The entire health care network may be needed at one time or another to provide therapeutic as well as preventive help. Training experts can provide innovative methods for handling problems as they emerge. Professional groups can instigate change to correct stressful practices in occupational categories. Lawmakers can also legislate laws regarding quality of work life, health care, and mandatory retirement.

In a study dealing with the presence of heart disease in Japanese men, it was found that heart disease in Japanese men living on the West Coast of the United States was ten times greater that in Japanese men living in Japan. Other reasons for the difference between sample groups were sorted out, and it was finally concluded that Japanese men in the United States had more heart disease because they were more isolated and had less effective support systems. When a support system of friends and family members is present, stress can be buffered. The men in Japan were receiving more cushioning from stressful elements around them from friends and family. As a result, the men in their "home" environment experienced less physical distress and illness from surrounding pressures.

The example provided by the Japanese men is a reminder that everyone benefits from having sympathetic support groups in the form of family members, friends, co-workers, mentors, and others. The support system survey in the Personal Feedback section offers a method to evaluate our own personal support networks.

In short, stress can be handled in one of two ways—the ability to tolerate stress (the comfort zone) can be increased or the impact of a stressor can be softened. Conditions and circumstances can be channeled and rearranged appropriately. The individual, the organization (employer), and outside factors all play a role in causing and treating stress at one time or another.

PERSONAL FEEDBACK
The Support System Test

Review the items below to determine the kind of support system you have sur-rounding you to be of assistance when you have a problem or special need. Check *yes* if you have a component as a part of your life. Check *no* if a factor is not currently available to you.

	YES	NO
1. I have a boss who helps me when I have a problem.	_____	_____
2. I have a spouse/mate with whom I can share my prob-lems and concerns.	_____	_____
3. There is a person who serves a very helpful role as my mentor.	_____	_____
4. Where I go to school or work there are counselors/advi-sors who are readily available when I need them.	_____	_____
5. I have a best friend who is always accessible when I need to talk.	_____	_____
6. I have one or more family members (parents, siblings, aunts, uncles, grandparents, cousins, etc.) with whom I am in contact at least weekly if not daily.	_____	_____
7. I have a religious figure (minister, priest, rabbi, etc.) to whom I can go when assistance is needed.	_____	_____
8. I have a financial advisor who I trust when assistance is needed.	_____	_____
9. At least once a week I spend time with family or friends doing things for no other purpose than to have fun.	_____	_____
10. I have a doctor (physician) who can be seen quickly when needed.	_____	_____
11. I belong to at least one club, fraternity, social group, or service organization.	_____	_____
12. I have a personal trainer, exercise therapist, or coach who I see regularly.	_____	_____
13. Most days I take a relaxation (coffee) break with one or more friends and/or co-workers.	_____	_____

How to score your answers.

Go through your answers and count the number of times you answered *yes.* The more *yes* answers you have, the more support you have available to you in times of problems and stress. If your *yes* answers numbered ten or more, you have the poten-tial for a good support network. If your score is less than five or six, you may want to try to establish other ties that will be available as support. Look at the items you checked *no* and consider how you might be able to develop relationships that can be helpful when needed.

This test should be used as an opportunity to learn something about yourself and others.

Figure 16.2 summarizes the stress process. An individual brings several characteristics to a situation. Stressors impact the individual, and those stressors outside of the comfort zone create discomfort as their dangers are perceived by the individual. Personal and organizational consequences begin to take effect. The immediate consequences are sometimes moderated as a result of adaptive responses from the individual, the organization, and factors and influences outside the organization.

Stress does not have to be a destructive force. Frequently, if managed properly, the results of stress can be positive and constructive. The manager has the key role in the stress management process of recognizing and dealing with job-related stressors and helping employees deal with them.

THE PROBLEMS OF ALCOHOLISM
AND THE ABUSE OF OTHER DRUGS

Although it is not always clear which comes first, the problem or the stress, it is clear that alcohol and other drug abuse problems often surface when stress is present. Throughout the years, many have regarded alcoholism and the problem drinker to be the number one human resource problem in business and industry. It is estimated that at least six million Americans who go to work each day have the disease known as alcoholism.[20] An alcoholic is technically defined as a "person who consumes large amounts of alcohol over a considerable length of time, and whose addiction causes chronic, increasing incapacitation."[21] In addition, there are many problem drinkers—drinkers who may not be addicted to alcohol but whose behavior

FIGURE 16.2. The Stress Cause and Reaction Model
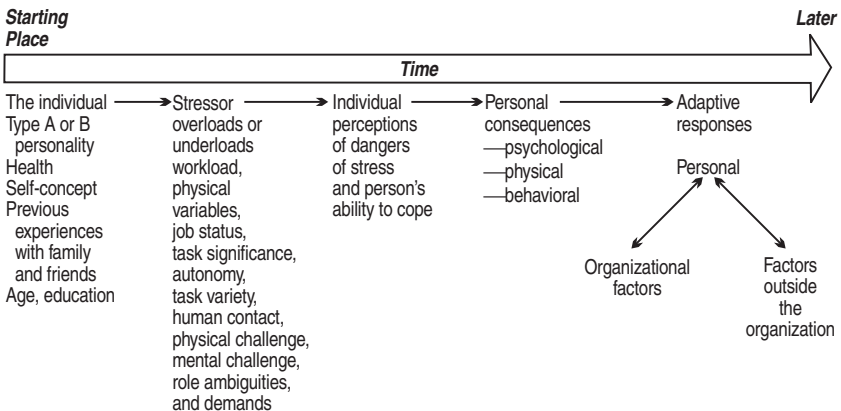
as a result of alcohol causes trouble for themselves and for others. At least one out of every sixteen workers has alcohol-related difficulties. The problems of alcoholism belong to every type of worker—white-collar, blue-collar, managerial, skilled, unskilled, and professional.

A conservative estimate of the cost of alcohol-related problems to American businesses would begin at $30 billion annually. Losses occur through absenteeism, tardiness, injury, illness, deaths, property damage, poor quality performance, increased health insurance costs, higher workers' compensation costs, the cost of replacing and training new employees, as well as theft that sometimes is associated with alcohol and other drug problems.[22] The effects upon morale must also be acknowledged.

Absenteeism and tardiness for the heavy drinker tend to be fifteen to sixteen times more frequent than for the nondrinker or minimal drinker. The heavy drinker is involved in four times more accidents than is the nondrinker. Problem drinkers tend to work more slowly, do work of a poorer quality, make more bad decisions, and forget safety regulations more frequently than workers who have no alcohol problems. The identification of the problem drinker, however, is not always an easy task.

OTHER DRUG ABUSE PROBLEMS

A wide range of drugs other than alcohol are being abused by employees. Some of the drugs abused are legal prescription drugs such as tranquilizers; other drugs being used illegally include cocaine, marijuana, heroin, PCP, codeine, and antidepressants. The estimates of the annual cost to industry resulting from the use of drugs (including alcohol) range between $50 billion to $100 billion.[23] As with alcohol, the abuse of other drugs affects health-care costs, decreased quality performance, absenteeism, accidents, and theft.

In studies conducted for the U.S. Congress, it was revealed that 74 percent of adults who use illegal drugs are employed. Employees who abuse drugs are absent 66 percent of the time more than individuals who do not use drugs. Health benefit utilization is 300 percent higher among drug users than nonusers. Almost 50 percent of workplace accidents are drug related. Disciplinary actions are 90 percent higher among users of drugs than with nonusers, and employee turnover is significantly higher among drug users.[24]

The abuse of substances other than alcohol is especially alarming because more than 90 percent of abusers admit having drugs with them and using them at work. Over 50 percent of the drug abusers studied admit to selling drugs to other workers on the work premises (a criminal offense), and more than 40 percent of the workers sampled admit to having stolen goods and materials from their employer to sell for personal profit. More than

30 percent of workers on drugs indicate they have stolen cash or checks from their employer or fellow employees.[25]

The detection of the worker with another kind of drug problem may be even more difficult than the discovery of the problem drinker. Supervisors seldom identify that the source of a drug abuser's problem is, in fact, drugs. Many times, drug abusers are codependent on alcohol and other substances. Although a drug abuser may have symptoms such as dilated eyes, shaky coordination, and impaired depth perception, the abuser is usually able to camouflage the symptoms under the guise of being too tired from overwork, lack of sleep, a personal problem, or even too much alcohol. An alcohol alibi, such as having a hangover, is more acceptable to a worker's supervisor in most cases than one based on another drug-related explanation.

DEALING WITH ALCOHOL AND OTHER DRUG PROBLEMS

Drug Testing

Obviously, the preferred way to solve the unpleasantness that results from problem drinking or other drug usage is to avoid hiring workers who are already experiencing problems. In many organizations, extensive screening occurs before a prospective employee is hired. Every applicant who is being considered seriously for a job may be given a thorough physical examination. Previous work records, educational records, and behavioral habits are scrutinized to uncover possible signs of alcohol or other drug abuse. Drug testing is increasingly being made a part of the evaluation process. One report states that 97 percent of the 500 largest companies currently use drug testing.[26] Large companies (measured in volume of sales) do more testing than smaller organizations. In about one-half of organizations with a sales volume of over $500 million, job applicants and current employees are both given drug tests.[27] Each drug test costs a firm from twenty-five to thirty-five dollars.[28] Many employees say that they see alcohol as a bigger problem than other forms of drugs.

Most of the time a prospective employee who tests positive is given a second test to validate the findings. Urine samples are used predominately, but blood tests and other methods are being used more and more. Prospective employees who test positive usually are not hired. Existing employees who test positive are referred for counseling and treatment most of the time (69.6 percent); about one in five will be dismissed, and about the same percentage will be suspended, placed on probation, or given a leave of absence. A majority of all companies (those who test and those who do not) conduct educational and awareness programs.[29]

Accuracy and Reliability

Screening and checking for drug use through blood and urine tests has raised a fair amount of controversy. One issue is over the accuracy and reliability of available tests. In answer to the charges that drug testing cannot be depended upon to be correct, some argue that drug testing can be very accurate. Hanson writes that drug testing is presently accurate as much as 95 percent of the time, with a 100 percent reliability possible if done properly.[30] The use of some drugs—marijuana, for example—can be detected up to a month after usage. A drug like cocaine, however, is eliminated more quickly and may not be identifiable three or four days after its use.

Legality

The other issue with drug testing is over the legality of such tests. Opponents often claim that the Fourth Amendment rights of employees and prospective employees are violated through the use of drug testing. The privacy amendment, however, protects individuals from illegal searches by agents of the government and excludes private employers. Some have cited the Fifth Amendment as a right that is broken by mandatory testing in that an employee or prospective employee is testifying against himself or herself when samples are used for evaluation, decision, and or disciplinary purposes. Thus far, however, most types of drug testing have stood up under court challenges.

Drug Policies and Procedures

With or without testing, every organization should develop a set of policies and procedures for handling alcohol and other drug abuse problems among employees. The development and application of rules and procedures should include the following:

1. A search of statutes and regulations established by federal and state governments should be conducted to determine what is permissible in the way of inspection and control.
2. Clear definition and enforcement of rules should be provided. There should be rules about using drugs on the premises, reporting to work intoxicated or impaired, selling or providing drugs to other employees at work, and the right to administer tests or searches. The fact that tests will be used should be communicated; the consequences of identified violations should also be established.
3. Training and educating of supervisors in the rules and regulations along with the methods of discovery of abuses and disciplinary action should take place.
4. Rehabilitation or employee assistance programs should be developed.

5. Performance should be monitored to discover behavior that is subpar, dangerous, or in other ways unacceptable.
6. Causes of inadequate or inappropriate performance should be determined. This may be done on a routine basis or on the basis of unique behavior. Drug testing may be included in this analysis.
7. Rehabilitation or employee assistance should be offered where appropriate.
8. Appropriate disciplinary guidelines should be developed, communicated, and followed as they were formulated.[31]

Employee Philosophy and Attitudes

It is important for the employing organization to have a positive philosophy toward alcoholism and other drug abuse. It is also important that supervisory personnel dealing with abusers have the support of their employer as they relate to problem workers. One of the big difficulties supervisors experience is the identification of the nature of an employee's problem (whether it is alcohol or other drug related, a matter of some other health problem, or a psychological problem).

The philosophy of an organization such as General Motors is a good representation of support for the problem worker (problem drinker). General Motors was one of the first companies to outline a positive approach toward dealing with alcoholism. General Motors has affirmed a policy of early identification, assistance by qualified personnel, treatment where needed if the employee is willing, job security while problems are being treated, and followup support after the completion of rehabilitation programs where needed.

General Motors and others have been served well by their aggressive program of intervention and support. Employees make a choice regarding whether to submit to treatment and rehabilitation, since substance abuse is treatable. Those agreeing to opt for treatment have a fairly good chance of successfully returning to stability and good performance. One study showed that 80 percent of the heavy drinkers who asked for help were assisted in overcoming their problems to the degree that they were able to retain their employment. The rate of dismissal for those who refused help, on the other hand, was high. Workers who accepted help reduced their absenteeism by 82 percent, while those turning down help had absenteeism increased by 121 percent.[32]

SUMMARY

Stress is an individual's reaction to perceived threats regardless of the source of danger. Stressors are viewed as the cause or source of the impending danger. Stressors carry with them varying degrees of danger, and individ-

uals have within themselves differing abilities to respond to stress. Some individuals have a high level of tolerance for stress, while others have a very low pain threshold when it comes to stress. In the underload-overload concept of stress, there are at least ten factors that have the potential to result in an underload or overload: workload, physical factors, status, task significance, autonomy, task variety, human contact, physical challenge, mental challenge, and role ambiguity and/or demand. Stress has its consequence for individuals—psychological, physical, and behavioral. Its consequences for organizations include lower efficiency, higher expense, lower quality, lower productivity, and sometimes increased grievances and strikes.

There are usually two approaches to take for handling stress. One approach is to increase the individual's ability to tolerate and cope with stress; the other technique is to decrease the causes of stress existing around the individual.

Most organizations, regardless of their size, can expect to encounter chronic employee problems related to alcoholism and other drug abuse. If these problems are to be overcome, their sources must be identified and courses of action plotted. Managers must be committed to programs of prevention, rehabilitation, and elimination. Particularly in the cases of alcoholism and other drug abuse, the worker with the problem also is to be committed to a program of rehabilitation if the problem is to be corrected. Employers must be more willing to admit the possibility of such problems among employees and must be more courageous in engaging in improvement campaigns.

QUESTIONS TO CONSIDER

1. What are some effective ways to develop a supportive group of friends and family members who help an individual cope with stressors? How can existing social contacts be utilized in a more supportive manner?
2. Is it possible for an individual who is a Type A personality to change to a Type B personality? Explain.
3. An individual who is low in self-esteem will have more problems with stressors than an individual who has a positive self-concept. What are the implications of this truth? What can individuals, superiors, and outsiders do to help improve self-concept? Discuss in detail.
4. According to the Life Change Index Scale, what are the sources of most stress-related problems? What are the implications of these sources insofar as managers are concerned?
5. How can each of the potential stressors identified in Figure 16.2 be dealt with so that underload or overload does not occur? Is it possible to cope with each of these stressors adequately? What can an employee do about each one? What can an employee's boss do about them?

6. As individuals suffer from the consequences of stress overload or underload, in what ways do organizations feel the effects of stress that are present in their employees?

7. Consider at length what a superior can do to help a subordinate cope with stress. Consider preventive and curative actions.

8. Is it ethical behavior for management to allow known stress in an employee to continue at high levels?

9. Why is it difficult for individuals with chronic alcohol or other drug problems to admit they have such a problem?

10. In what ways do organizations contribute to the development of alcohol and other drug problems?

11. Why is it sometimes difficult for managers to identify alcohol or other drug problems of employees?

12. Should a prospective employee with a record of alcoholism or other drug abuse be given consideration equally with those who have no record of such problems even if it appears that these problems have been overcome? Why or why not?

CHAPTER CASE:
PAT'S PROBLEM

"I almost wish Martin weren't such a nice guy," thought Pat Boyce, supervisor of a data analysis group for a large petroleum company. There was no doubt about it—Martin Stein was a nice guy. He had fit into the unit from the time he had arrived as a new hire and had done well in training. In fact, Boyce had thought at that time that Stein might have management potential.

"That surely hasn't worked out," Boyce concluded sadly.

Unfortunately, Stein wasn't anywhere near to living up to his potential. He hadn't been out of training long when he started running into problems with tardiness. When Boyce talked to him about it, Stein was extremely apologetic and said that he was having car trouble but would have things straightened out soon. In fact, the tardiness improved, and things went along fine for a while. It wasn't long, however, until Stein's work performance started downhill. Boyce discussed the problem with Stein again. This time, Stein seemed upset and told Boyce that he was having family problems and couldn't keep his mind on his work.

Again, things improved for a while. Recently, Stein started having attendance problems. This time, when Boyce questioned him, he said that his wife had left him and he was trying to raise his two young daughters alone. One of them had health problems, and Stein had to stay home with her. Again, he "felt terrible" and promised to do better.

Most recently, the office rumor mill had it that Stein had started to have drinking problems—not during the week, though. Apparently, Stein had

taken to starting his drinking on Friday evening and continuing through the weekend. Several of the female employees have told Boyce that they fear for the safety of Stein's young daughters during such times. Worse yet, Boyce has recently begun to wonder whether Stein is taking uppers of some kind to get him through the week.

"If only Stein weren't such a nice guy," Pat thought again. "I really believe that his story is true—but where does that leave me? I've got a unit to run and work to get out. I'm not sure I can count on Stein."

Case Questions

1. From a managerial perspective, what are the problems in this case?
2. If you were a co-worker rather than Stein's boss, how (if any) would your perception of the problems differ?
3. What should Pat Boyce do? What are his options?
4. What should Stein's co-worker who was aware of the problems do?
5. If you were a personal friend of Stein's but did not work with the same firm, what should you do?

GLOSSARY

alcoholic: A person who comsumes large amounts of alcohol over a considerable length of time and whose addiction causes chronic, increasing incapacitation.

drug abuser: An individual who uses any form of drug excessively beyond or against purposes for which the drug was intended.

drug testing: A method to evaluate the presence of (and to what degree) a drug is in the body systems of an individual.

negative stress: The state or condition wherein the pressures applied to an individual causes a threatening, fearful sort of tension within the individual. Often in this kind of stress, the individual feels incapable and inadequate to meet the challenges lying ahead.

overload: A situation in the workplace wherein the demands made by a work-related component are so high that tensions develop.

problem drinkers: Individuals who may not be addicted to alcohol but whose behavior as a result of alcohol consumption causes trouble for themselves and/or for others.

stress: A state or condition wherein external factors (time pressures, social norms, success-failure conditions, and so forth) interact with an individual

psychologically or physiologically so that tensions develop inside the individual.

stressor: Factor that causes tensions to build within an individual to the point that stress occurs. A strong command from a superior or a rapid decline in the market may be an externally caused stressor. A strong achievement need or a demanding growth need may be an internally originated stressor.

Type A personality: The nature and disposition of an individual to be fast living, impatient, self-preoccupied, competitive, accepting of excess responsibility, and so forth. The Type A person drives self to the point that health is threatened.

Type B personality: The nature and disposition of an individual to take things slowly, to avoid unrealistic demands, and to be deliberate rather than reactive.

underload: A situation in the workplace wherein the demands of a work-related component are less than normal or expected so that tensions develop.

Chapter 17

Technology—
Its Impact in the Workplace

OBJECTIVES

- To consider the role that technology plays in and among organizations
- To investigate the impact of technology upon people in the workplace
- To discover reasons for employees' resistance to new technological ideas
- To investigate technology's impact upon the environment
- To become familiar with the key technological changes impacting organizations
- To discover recent trends that technology is making possible in the way of work patterns

A CASE TO CONSIDER:
WHAT'S IN IT FOR ME?

Samuel Jameson, director of information processing, was heading for the Friday general staff meeting—and he was really fuming. "People must be crazy," he was thinking to himself as he walked down the hall. "Our new integrated data and information network has the capability to put all the information our top managers need at their fingertips, to cut way down on the clerical workload, and bring our company to the forefront technologically—but it's not being used. This is ridiculous!"

Jameson had asked for time on the staff meeting agenda to discuss the situation and the need to use the new system as designed. The new system that he was thinking about really *was* superb technologically. The database was updated nightly and contained up-to-the-minute information about all aspects of company operations, comparing plans to actual results. It also contained a wealth of supplementary data, including moves by competitors and other important information about events affecting the firm. There was a terminal on each executive's desk; information could be retrieved in a matter of seconds. Furthermore, all of the executives were networked together so that they could

use the system to communicate and to send information and reports to one another.

The latest analysis of system usage, however, showed almost no activity. The executives simply weren't using the system. The final straw had come yesterday afternoon when Jameson had discovered one of the secretaries laboriously retyping a printout that had been generated by the system. "So the execs can understand it," she'd commented.

"Talk about reinventing the wheel," Jameson growled to himself. "Anybody who's doing that has no idea how the system should operate."

The meeting room filled quickly, and Jameson launched into his topic, trying once again to explain how important it was to make appropriate use of the new system and emphasizing that the company's enormous expenditure was being wasted without proper use. There were few comments after Jameson's presentation, and the meeting moved on to the next item on the agenda. The meeting adjourned, and Jameson walked out with Elena Ortiz, director of marketing and one of the most senior and most respected of the executives.

"I don't think I got anywhere with my presentation today," Jameson lamented. "I've never seen such a bunch of stony faces. What's with these people, anyway?"

"It sounds to me like you need some advice," Ortiz commented. "Let me give it to you from a sales and marketing perspective. You have to *sell* the new system just like any other product. You did a mighty effective job of pointing out the benefits to the company if we use the new system. But what about benefits to us? If you can't answer the question, 'What's in it for me?' you won't be able to sell your product, that's for sure!"

"But the system is so easy to use," responded Jameson. "It saves all kinds of clerical effort."

"But that's not the point," Ortiz explained. "Sure, it saves clerical time, but it does it by making *us*—the execs—into clerks. Our time is valuable. Why should we spend time doing our own typing into those terminals you've installed in our offices and trying to make heads or tails of the complex data displays and printouts the system gives you? Frankly, we prefer the old way."

"Now what?" thought Jameson in despair.

Case Questions

1. Why did the executives resist using the new technology?
2. What should Jameson do now?
3. Did the executives really understand how to use the system?

* * *

In its broadest sense, technology is the sum total of the ways through which societies provide themselves with the material objects of their civilization. In this sense, it is common for managers and those who study management to be concerned with the level of technology in the environment in which organizations operate. In contrast, at the organizational level, technology is the sum total of ways the organization achieves its goals and does what it is in business to do. It is common to view organizations as interrelated input, transformation process, and output systems. Raw materials may be an input to a manufacturing organization, for example, while sick people may be inputs to health-care organizations. The transformation process is where the organization's technology is found, as this is where technology "works upon" the raw materials, converting them to finished products or outputs—such as automobiles in automobile manufacturing or well people (we hope!) in the case of the health-care organization. Technology, therefore, refers in part to the organization's physical assets and capabilities of an organization, including such things as machinery, tools, and equipment. Technology also includes the creative process through which new products and new processes are discovered (the primary work of a research and development unit).

THE FLOW OF TECHNOLOGY
THROUGH AN ORGANIZATION

Innovation and creativity are important functions in many organizations, and the development of new goods and services is an important activity. "Building a better mouse trap," so to speak, is a strategy many organizations use to a competitive advantage. Organizations in the business of developing new products and procedures must take the necessary steps for creativity to emerge. The proper climate for innovation includes a general set of goals and guidelines, supportive leadership, resources and staff to draw upon, recognition when creativity is achieved, and appropriate rewards and reinforcements.

Raychem Corporation, for example, is supplier of technology-intensive products to industrial customers in aerospace, automobile, construction, telecommunication, and utilities areas. Since its founding in 1957, Raychem has pursued a consistent strategy: to master a set of core technologies and produce thousands of proprietary products based on those technologies. The company produces over 50,000 products, many of them manufactured only by Raychem.

Raychem's strategy has paid off handsomely. Raychem has annual revenues of over $1 billion, some 60 percent of which is generated outside the United States. The company consistently earns gross profit (amount earned before expenses are subtracted) of 50 percent, has no net bank debt, and has a price/earnings ratio of about 30 percent (30 percent of the price is earnings).

For the first twenty-five years of Raychem's existence, the company's average growth rate was 25 percent. By any measure, this is a successful and innovative company.

Raychem hires talented people and expects them to be innovative. Expectations are high and rewards are provided for all innovation whether provided by secretaries, loading dockworkers, or scientists.[1]

One of the biggest challenges managers face with new technology is to get it accepted by the culture of the organization and by the individuals who make up the organization.[2] Employees are resistant toward new technology for several reasons. Many employees, for example, fear that their skills will be made obsolete when new technological procedures are introduced. If new skills are called for, many are uncertain of their ability to develop those new skills. Some are afraid they will lose control of the way they work. Uncertainty raises fear of what the future will bring. Fear of physical harm is another concern. Some employees, especially older workers who did not grow up with computers in their homes and classrooms, are afraid of computers, and in recent years, change has often involved working with computers. Of course, some workers fear being displaced by machines, robots, or computers. Check your computer concerns by doing the next Personal Feedback exercise.

THE CHIEF TECHNOLOGY OFFICER

The increasing importance of technology is causing many organizations to appoint an individual to the position of chief technology officer (CTO), whose role has many dimensions. The CTO acts as link to the environment outside the organization. It is the CTO's responsibility to keep up with emerging technological advances to ascertain what might be organizationally useful. The CTO spends a large amount of time talking with CTOs in other organizations, listening to sales personnel present their newest products and inventions, attending conferences with other professionals, reading technology-related journals, and cultivating contacts with university faculty and researchers.[3]

The CTO has several duties inside the organization as well. The CTO is responsible for identifying new technological developments and screening them to see if they can be useful. The CTO gathers the skilled staff needed to use new technology. The CTO must link new technologies with top management. (Refer to the case at the beginning of the chapter. In effect, Sam Jameson is acting as CTO in his company. What are some of his activities?) Technology will join together different groups and individuals who will utilize it. The CTO is responsible for developing a climate supportive of the new concepts and techniques in which cooperation thrives. The CTO is also

PERSONAL FEEDBACK
What Bothers You About Computers

Answer the questions below to identify the basis of concerns (if any) you have about computers. Rate the concerns on a scale of 1 to 5. A score of 5 indicates the item is of very high concern while a score of 1 represents no concern.

	Very High	High	Moderate	Little	No
I would rather write my thoughts on paper and let someone else type them or put them in the word processor.	5	4	3	2	1
I don't like having to learn the ins and outs of software every time I turn around.	5	4	3	2	1
The fact that computers get viruses sometimes bothers me a great deal.	5	4	3	2	1
I'm afraid I'll erase something when I'm working on a computer.	5	4	3	2	1
I'm afraid there will be an electrical interruption while my computer is on, and I'll lose data.	5	4	3	2	1
The printers I've seen or worked with aren't very reliable.	5	4	3	2	1
The manuals manufacturers put out are too confusing to be helpful.	5	4	3	2	1
No two software programs are alike and I find it frustrating to have to learn new procedures.	5	4	3	2	1
I'm afraid that I'll do something that will damage the computer when I'm working with it.	5	4	3	2	1
I feel that the computer is like having a boss who makes you do what he or she wants you to do when he or she wants you to do it.	5	4	3	2	1
I'm afraid that computers will wind up replacing me and thus cost me my job.	5	4	3	2	1
I'm afraid I will never become competent at working with computers.	5	4	3	2	1
I'm afraid that if I put confidential matters in storage, someone will see the information who shouldn't see it.	5	4	3	2	1
It bothers me when people around me talk computer talk and I don't know what they are saying.	5	4	3	2	1
I'm afraid I will develop wrist and shoulder problems if I spend much time at the computer terminal.	5	4	3	2	1

This is not the kind of test you need to add for total points. Go back through and note the items to which you gave the highest scores. This will help you to pinpoint your concerns. For example, if you gave item number 1 a 4 or 5, you see computer work as too time consuming. If you gave item number 2 a high score, you dislike the unfamiliarity of different programs, and you may doubt your ability to learn new procedures. Once you've identified the causes of your concerns about computers, you can take steps to deal with the concerns.

responsible for assessing technology in relation to overall organizational strategy. Obviously, the CTO carries significant responsibilities.[4]

Recently, as users have become increasingly sophisticated and computer applications have become less mainframe based and more accessible to users, CTOs have been faced with an important series of decisions about their relationships with users in the departments they serve. Although these individuals have traditionally operated in a relatively autocratic fashion, making the most of the key technological decisions by themselves (after all, in the early days, users typically did not have the know-how to become involved in the decision-making process), more recently, there has been increasing pressure upon them to work more participatively and democratically with users. Perhaps the long-range impact will be a surge of innovation and creativity as users' ideas are heard.

WHAT TECHNOLOGY DOES
FOR AN ORGANIZATION

Technology impacts an organization and its people in a number of different areas.

Technology's Impact upon Production

Technology at the earlier stages of development was concerned with increased productivity and higher levels of efficiency. Mass production and assembly lines were some of the first technological developments. The idea was to take advantage of economies of scale, by which technology was used to spread fixed costs of production over a few products, processing them in large quantities. If, for example, the cost of machines was $10,000 and only one unit was produced, all costs would be charged to that one unit. If instead ten units were produced, the machine cost per unit would be only $1,000, greatly reducing the unit's production cost. This is referred to as "large batch" production, in which the objective is to produce large quantities of an identical product to keep per unit production costs as low as possible.

But will consumer tastes stay stable enough to permit large batch technology? As we enter the new millennium, there is increasing evidence that consumers are becoming increasingly demanding and fickle in their tastes. Henry Ford's adage that buyers could have any color car they wanted as long as it was black would be doomed to failure in today's marketplace. In response, some organizations began to take advantage of economics of scope, which are realized when it is less or equally costly to produce two or more products in combination rather than separately, usually, in small batches responding to customer needs and wants. The cost savings from using economies of scope

are derived from spreading fixed costs of manufacturing equipment across several products.[5]

Recent advances in computer technology have enabled firms to enjoy the advantages of both economies of scale and economies of scope. Organizations can now use technology to switch among the products being produced without costly retooling and setup changes. This concept is called economies of integration, since it takes advantage of both economies of scale and economies of scope. Through various computer techniques, an integration of manufacturing systems can be achieved. Several technologies controlled by computer when used in concert are called computer integrated manufacturing (CIM). CIM has four significant effects:

1. CIM allows the specialization that has normally been built into the hardware of conventional machine systems to be replaced by software that rapidly redesigns the production systems for different products.
2. It eliminates learning-curve effects by removing the direct labor component through software that can repeat actions very precisely after they are accomplished only once.
3. It removes much of the confusion in manufacturing through integration of scheduling, machinery, materials flow, and tooling.
4. It allows setup changes to be accomplished rapidly, which reduces the economic batch quantity. This means that manufacturers can produce smaller quantities of products but still make a profit.[6]

Most studies of the effect on the performance of a firm that uses CIM find that machine utilization is significantly more efficient, labor productivity increases, scrap rates decrease, and customer satisfaction increases because of improved quality, product variety, and responsiveness.[7]

Robotics

The production process in recent years has been aided considerably in some cases by the development of robotics—the creation of mechanical units that act like humans and take the place of humans in the production process. First-generation robots are strictly motor in nature, limited to such routine functions as grinding, spray painting, welding, stacking, and loading. Routine, repetitive activities are the mainstay of first-generation robots.[8] Second-generation robots are much more sophisticated. The more advanced robots have eyes to distinguish variations in color, shape, or location. The new robots have ears that can distinguish acceptable from unacceptable sounds. The robots have touch-sensitive skin that can distinguish acceptable from unacceptable materials. Robots have even been developed with a sense of smell, whereby they can distinguish acceptable from unacceptable odors. Toxic materials or gases can be identified. Second-generation robots can be designed to work inde-

pendently, or they can be designed to work with and under the direction of humans.[9]

As even more talented robots are developed, they are expected to be further skilled so that, with the use of artificial intelligence, they will become more humanlike and will make many of their own decisions.

Technology in Service Industries

A major impact of technology in recent years—and one which is expected to continue well into the future—has been the impact of technological breakthroughs in service industries. In the early days, the expectation was that technology would have less impact on service industries, where the "product" is much less tangible and not one which can be manufactured on an assembly line. But notice just a few of the recent innovations that are impacting service industries: Ticketing for services ranging from movies to airline travel is being completely transformed as consumers search the Web for the best prices. Medical assistance is reaching even remote parts of the world, as workers, linked to "expert systems" guiding them through the diagnostic routines of highly skilled physicians, can provide top-quality service without the physician physically being there. Whole new industries are being born that incorporate the findings from fields such as genetic engineering to developing creams to erase wrinkles (a boon to aging baby boomers) or growing organs (for transplant into humans) using genetically designed pigs. One of the authors was involved in an unlikely conversation recently. One of the two main participants was a top manager from a large gaming organization that has casinos throughout the world; the other was a CTO from a cutting-edge technology firm. It was obvious that the casino executive was proud of the way her organization was growing, and she pointed out that they had made decisions to open huge new facilities in each of several large cities. "I can't imagine why you're doing that," responded the CTO. "In the next few years, gaming is going to be done over home computers—certainly not in physical locations!" Whose view of the future is correct?

Data Accumulation, Storage, and Decision Making

One of the earliest forms of activity as information systems (IS) moved into organizations was the collection and storage of data. As time has passed, the capacity for acquisition and storage has substantially increased. With this increase, the decision-making skills of the computer have also expanded.

At organizations such as Frito-Lay, information systems have been integrated to the point that the time spent on paperwork, placing orders, monitoring inventories, and the like is no longer a major chore. The decision

support system Frito-Lay now has in place takes information fed to it by 10,000 route salespeople and turns them into orders, invoices, and sales reports. There are untold savings in clerical work, postage, and form costs.

The new system at Frito-Lay helps to track the success (or lack of success) of new products. Faster decisions can be made. Savings in shipping costs occur. The performances of managers and salespeople can be quickly audited and summarized. Performance corrections can be communicated, and good performance can be reinforced. Decentralization of decision making can also take place.[10]

Artificial Intelligence

The term *artificial intelligence* is used to describe the way computers are developed with the ability to make human-like decisions. To a limited degree, artificial intelligence has been around for awhile as computers have exercised judgments in playing computer games, in musical and artistic fields, and in simulations.

> At the highest level, artificial intelligence is a complex of computer hardware, computer programs, and robots. It possesses the faculties of knowing, reasoning, and understanding. Proponents of this level see no reason why computers can't simulate every aspect of human intelligence, including the ability to invent, ask questions that go beyond orderly rational frameworks, and display "human" wisdom.[11]

The second level of artificial intelligence is the expert system (ES). (Robots are the third level.) An ES is a sophisticated program that can diagnose a situation in a particular field, such as the medical example we considered when we discussed the impact of technology on service organizations. ES is also at work in areas including oil exploration and estimating. ES is a knowledge-based program in which rules, probabilities, facts, and relationships are entered into a database by a human expert in a particular field. As a result of this input, the computer is able to generate expert-like responses to questions and issues. New data are continuously fed into the computer so that the knowledge base is constantly updated.[12]

One way ES works, for example, is a situation whereby a centralized help desk is established to assist employees in the field. When an employee has a problem, the employee calls the help desk and electronically inputs the situational conditions. Usually the field worker will answer a series of questions the computer asks. After the input is complete, the computer, using the expert software, processes the information, makes a diagnosis, and suggests solutions. More recently, of course, these help-desk functions are moving toward Web-based applications, but their ES base is unchanged.

Other ways organizations may benefit from expert systems include: the distribution of expertise across a whole organization, more uniform decision making, quicker service to customers, faster assessment of training needs, self-diagnosis of problems, better quality control, and smaller numbers of people on the payroll.[13]

Several research products are now being developed to further extend artificial intelligence. The products range from a speech-activated keyboard that has a capacity of 1,000 words, to an optical scanner that can distinguish 100,000 pictures, to a language-translating machine, methods for making workers more autonomous.[14]

TECHNOLOGY AND COMMUNICATION

Another area of major development in technology is communication. Messages can be sent, received, stored, or analyzed in several different ways. Many of the new communication developments will be computer related. It is postulated, for example, that soon computers will no longer be distinct from cable services, mobile and standard telephones, and the like. Moreover, with advances in office automation, managers will be able to communicate even more with other computers, permitting organizations not only to leave inventorying to the computer, but also allowing the computer to communicate with the supplier, without human intervention, when it is time to reorder. At the receiving end, the supplier's computer may receive the order, get it filled and shipped, and send a bill without human involvement. Computers will never be turned off; they instead will answer telephone calls, record and store data, and ask for replies from others. They can be used to "invite" the customer into the organization's database, as is the case when customers electronically track the status of their FedEx orders.

Electronic Mail

Computers are being used more and more as a daily communication medium. Electronic mail (e-mail) involves sending and receiving information through the computer. A person sitting at a computer terminal can type in a message and send it to another person in the next room, in another building, in another city, or in another part of the world. By getting on the Web, that same sender can send along a personalized computer greeting card with an audio message and perhaps a song as well. If the receiver is not at his or her own computer at the time the message is transmitted, the information can be stored until the individual returns. Historically, the emphasis has been on the written word typed into the system. But the average person speaks 125 to 200 words a minute, writes ten to twenty words a minute, listens and comprehends at the rate of 400 words a minute, and reads at the speed of 250 words a minute.

Computers, of course, can outperform humans significantly in all of these areas. Computers can, for example, print a page of words in a single second.[15] Because the ten- to twenty-word-per-minute writing speed poses a significant input limitation, even more pressure is being applied to develop a readily available computer capacity to permit voice recognition.

One of the problems up to this point with using the computer as a communication medium has been its lack of privacy. A top executive at Sprint sent a very personal letter to his sweetheart, who was also an employee of Sprint. He, by mistake, made the letter available to 300 co-workers, who soon were reading about his love life.[16] There are, of course, ways to code messages so that only those who know the code can review dispatches. It is anticipated that computers will soon be responding to handwritten messages and voice commands. To be cautious about releasing messages only to the right parties, it may be that information will be given only after a thumbprint, retina scan, or voice analysis check has been completed.[17]

Electronic mail is also known for its release of inhibitions. People are much more likely to write something in e-mail than they are to say it face-to-face or over the telephone. Electronic mail reduces status and power differences so that people aren't afraid to say what they want to say. A first-line supervisor might say something to the boss through electronic mail that the same individual would never say to the manager's face.

Computers As Integrating Devices

Computers and the associated information systems (IS) have excellent potential as integrating mechanisms, tying together many activities and people related to an organization. For example, orders from customers can go from the customer to the mainframe to the factory to the factory machine to the shipping department to the procurement department to the outsiders who need time to prepare goods to be supplied. This is an example of the computer integrated manufacturing (CIM) discussed earlier.[18] As a coordinating device, the computer has the ability and capacity to far exceed human efforts. Look again at the case at the beginning of the chapter: The computer system that Sam Jameson is working with is an example of an integrated system in which data are linked to communications capability. IS has almost endless potential when conferring through video complexes, training through computers, desktop publishing, and other uses are considered.

Other Communication Devices

Computers are not the only recent technological advancement. Over the past ten years, the "standard" telephone has been utilized in new and changing ways. Voice mail—the ability to send messages through a telephone network—quickly became a common method of communication. Voice messaging al-

lows sending and receiving of messages through standard telephones, typically as the caller is "instructed" by the system on how to proceed. Speaking to a "real" operator has become almost a thing of the past in many organizations. Moreover, it is not at all uncommon for the caller to be informed that it might be quicker and more convenient to simply visit the organization's Web page and do business there. The savings in workers who would earlier have been doing the answering, recording, directing, and recording orders is apparent to even casual observers, but it is a source of frustration to those who yearn for human contact.

Telephone lines carry messages from facsimile machine to facsimile machine. Written messages can be sent from one location to another anywhere that sending and receiving machines and telephone lines exist. Many observers feel that even the FAX will soon be outdated, as "filling out a form," for example, comes to mean getting the form electronically, by e-mail or on the Web, and returning it without using any paper. Cellular phones have made communication possible between fixed and moving points and the expectation is that they, too, will become part of an integrated system, linking computer capabilities, voice, and the Web.

WORKING AT HOME— THE COTTAGE INDUSTRIES

The availability of computers and additional communication machines is opening up new work patterns. Cottage industries—which existed before industrialization began, as people assembled and processed products in their own homes—are making a comeback. With the existence of computers and the new communication methods, more and more people again are working at home. More than nine million Americans are now working at home full-time or part-time. More than 144,000 work in the construction trades, 83,000 are managers, and at least 80,000 are in sales.[19] Working at home provides individuals with many advantages. Commuting and other traffic problems are limited. Family matters can be addressed, and the employee can spend more time with other family members. Interruptions from supervisors and co-workers occur less often than if the people were in the next room. Clothing, food, and transportation costs are reduced, as are child-care expenses sometimes.

The employer has advantages, also. No work space must be provided. Good employees who might otherwise be lost can continue employment as a result of the flexibility working at home gives them. Workers often produce more because they have fewer distractions. There are disadvantages, too. For one thing, coordinating the efforts of employees is more difficult when they are scattered and away from one location. Monitoring work per-

formance sometimes becomes difficult. Providing meaningful feedback may be more complex.

Significant costs are involved in outfitting the workstation at an employee's home. If computer work is the center of the home base, for example, it costs from $4,000 to $10,000 to equip the home for work. Any home-operated computer attached to the headquarters' computer will—at least for now—need a computer that is compatible with the one at headquarters, a letter-quality printer, an answering machine, a facsimile machine, a computer modem (the telephone link between a computer and another computer offsite), and a two-line telephone connection. The more high-powered home office may need a larger computer, a backup tape drive, a laser printer, a personal copier, and a more sophisticated facsimile machine. The appropriate software will be required. However, as networking capabilities increase, it may become more practical to allow off-site access into the organization's network for software, databases, and the like. If telephone communication is important, having call-waiting, voice mailboxes, and an 800 number may also be necessary. If traveling is a part of the job, such items as a cellular car phone, a pocket cellular phone, a portable computer, and a portable printer may be needed.[20]

Working at home calls for much self-discipline and may require adjustments in family life. Since no boss is present to oversee work and provide motivation and instruction, the worker must monitor his or her own performance, seek answers to unclear situations, and apply self-motivation. If children or other family members are at home during working hours, provisions may need to be made for them. Many workers find it unsatisfactory to care for children and simultaneously keep up a work schedule. Employees have been known to leave their homes, get in their cars, drive around the block, and then walk into their homes again to help them make the adjustment to separate home life from work life.

NEIGHBORHOOD WORK CENTERS

Another trend has developed recently. Neighborhood office (or work) centers are being established and equipped with the appropriate technology—computers, printers, and facsimile machines, for example. An employee of a company with headquarters hundreds of miles away can leave home and within a few minutes arrive at one of these neighborhood centers in the community. All of the equipment needed is available at such centers, and there may even be support staff to provide such things as duplication services, computer inputting, and other necessary backup. The space and the services are usually rented by the employer. Another firm leases the space and equipment to various employers, or the local or state government leases and runs the neighborhood center. An employer could establish its

own satellite office in the same way and make it available to its own employees, although this hasn't happened much at this point.

The neighborhood work center provides many of the same advantages the home workstation makes available. In addition, the employee is removed from the demands of family, and other distractions are eliminated. Self-discipline issues, such as talking on the telephone too much and staying away from the refrigerator, are potentially overcome.[21]

OUTSOURCING, NETWORK ORGANIZATIONS AND VIRTUAL CORPORATIONS, AND E-COMMERCE

The options we have been considering at least retain the general "feel" of organizations of the past. But, as we enter the first decade of the twenty-first century, there is reason to believe that technology may change organizations themselves in ways that represent radical departures from the structure and functioning of traditional organizations. Recently, prominent economist Lester Thurow was asked to speculate on the activities that organizations would find most critical if they were to survive in the Information Age. Thurow's response emphasized nimbleness. "They've got to be willing to cannibalize themselves," he commented. What Thurow was getting at was that older, more standard ways of setting up and running organizations may no longer work in a fast-paced information-dominated world.[22]

Think for a moment about our earlier discussion of organizations as a series of input, transformation process, and output systems. Will all of those systems really be needed in the future? Already, outsourcing has become a common phenomenon, as organizations outsource business functions such as billing or legal work to outside suppliers of those services. Purists counter with the idea that it might make good business sense to outsource peripheral activities, but that organizations should never outsource their key business functions. Soon, however, those ideas too began to crumble, and we are now witnessing the rise of network organizations or virtual corporations. An extreme example is the firm headed by a friend of the authors. His organization is a cutting-edge hardware and software provider involved in the design and production of huge systems, "smart buildings" (ones which are completely tied to a computer network for all functions), and fiber optics. It successfully competes with the giants—BellSouth, AT&T, and the like. But the organization has never employed more than about fifteen people. In effect, he has simply outsourced all of his business functions, using electronics—e-mail and the Web—to keep his "organization" in touch with its sources. It functions much more like a loose confederation, whose members come and go as needed. When asked for the secret of managing such an "organization," his response really provides food for thought. "Believe it or not," he says with a chuckle, "It's really a very old-fashioned virtue. I call it

trust relationships. You've got to be able to develop personal, trusting relationships throughout the whole array of organizations you're working with. Sometimes you have to go the extra mile for them, and sometimes it's the other way around. Remember, there's no boss up there to make you do it. It's all in the trust building."

Another view of technology and the future comes from well-known management theorist Peter Drucker. Drucker, too, has been asked for his view of the key changes we should expect as we move further into the Information Age. Drucker's candidate for the change which will most radically change the way we live and work because of its impact on our economic systems is *not,* surprisingly enough, the computer. For Drucker, the computer, to this point, has simply speeded up and made more efficient the activities we have performed in the past. Thus, typing a letter is still the same basic activity, regardless of whether the sender does it slowly and laboriously on a typewriter and sends it through the postal system or "snail mail," or goes to a computer and sends an e-mail. For Drucker, the breakthrough that will potentially have the greatest impact on our living and economic patterns is e-commerce, trading online with what may often be virtual companies. For Drucker, not only will e-commerce change the way we think about organizations, it will also radically impact the way the economy functions. Drucker points, for example, to what is happening to new car sales and notes that, at present, the typical new car sale doesn't happen in the dealership—it happens over the Web, through e-commerce. The dealer is still there but is increasingly functioning simply as the distribution point—after the sale is made. The way people are buying cars is changing, and so is the role of the distributor, in this one simple example. And, as Drucker points out, that's what is meant by saying that the economic system is changing.[23]

Note that the CTO we mentioned earlier was getting at much the same thing in commenting that gaming would soon be offered primarily over the Web—presumably through e-commerce. Interestingly enough, many of the emerging e-commerce companies bear little resemblance to organizations as we have traditionally known them. E-commerce is available to virtually anyone willing to develop sources to supply and distribute wanted goods. The authors have recently started asking their classes if anyone is engaged in e-commerce, and every semester one or more students per class report having their own often small but thriving e-commerce businesses. "You bet," commented one of them. "That's how I'm paying my tuition!"

HEALTH AND SAFETY PROBLEMS FROM TECHNOLOGY

Along with the positive contributions from technological development come some negatives. For example, the use of computers has brought about

a need to overcome the various problems related to video display terminals (VDTs). A number of illnesses and other problems have resulted from the regular use of video display units and their keyboards. Other forms of work—jobs on the assembly line, work in food processing, and employment as supermarket cashiers—can result in similar consequences.

The typical effects of these technology-related jobs are illnesses known as cumulative trauma disorders (CTDs). CTDs affect the soft tissues of the hands, wrists, arms, shoulders, and back. Two major studies of VDT operators have shown that this group of individuals has a much higher level of visual, musculoskeletal, and emotional health complaints than individuals who do not work with VDTs. Boredom, pressure, and management control cause additional stress. CTD injuries are a result of repetition, force, vibration, awkward posture, and extreme temperature.[24]

Repetition and other factors take an especially heavy toll on hands and wrists. Tendinitis and nerve injuries are the most frequent results, affecting sensing and motor functioning in particular. Numbness, tingling, and pain are typical effects. Eye strain and backaches are also frequent results of sitting in front of a VDT for long periods of time.

One response to VDT-related problems has been the increase in ergonomics at work, which is the field of study that concentrates on the relationship between the worker and the work site where the work is done. Ergonomists (those who study the workplace and the worker) look for ways to increase worker comfort and productivity by redesigning workstations, tools, and job tasks. These scientists also work at eliminating health problems related to working with VDTs.[25]

Many organizations have voluntarily begun ergonomic efforts. Governmental regulators have also stepped in to evaluate employers' efforts to improve work in repetitive jobs. Although OSHA, for example, does not yet have a well-defined set of ergonomic standards, it still monitors organizations and applies fines where inadequate efforts to improve the workplace exist.

Some cities and states have taken steps to regulate repetitive work, particularly where VDTs are involved. Some laws that were passed were eventually thrown out by the courts, so that only a few are now in place. Most laws have required employers with at least fifteen or twenty employees who use VDTs to provide annual eye examinations and to pay a major part of the cost and to use antiglare screens and antiglare lights as well as detachable keyboards and adjustable chairs and desks. Also required may be work programs to encourage better work habits (and as a result reduce eyestrain and backaches) and the provision of work breaks every two or three hours for employees working with VDTs. Such efforts are still in their early stages for the most part.[26]

Preventive Measures for Avoiding VDT Discomfort

Here are some ways to avoid the discomfort frequently associated with the operation of computers and word processors:

1. Secure a desk that has some flexibility and can be used without strain. The standard desk height of 30 inches is comfortable for working and writing in longhand, but a lower desk is needed for the placement of a keyboard. Usually the proper arrangement calls for a separate typing table.
2. Arrange the height of the chair so that you are looking straight ahead with your chin down a bit. The position should be comfortable.
3. Wrists should be kept flat and unbent while typing. If the keyboard is too high or too low, wrists may be placed at an awkward angle, resulting in carpal tunnel syndrome (damage to wrists and arms).
4. The lower back should be supported by placing feet firmly on the floor so that hips are at a ninety-degree angle with your torso.
5. Stop fairly often and stretch. Shake out hands to loosen the tightness that may have developed.[27]

TECHNOLOGY AND THE MANAGER

What is management's role in readying and supporting employees for technological change? Managers first must make decisions about whether to allow employees to be innovative. They must decide which innovations and technological changes are acceptable and compatible with the needs of their organization and its employees. Once decisions are made about what technology will be implemented, the managerial role becomes one of gaining acceptance of the new technology by the employees who will utilize and work with the new procedures. The opening case in this chapter certainly makes that point clear. Where did Sam Jameson go wrong in his efforts to introduce the new system? What should he have done?

Often one of the biggest managerial challenges is securing acceptance of the new technology. As discussed earlier, many employees are resistant to anything new—particularly new work methods and procedures. Many managers have recognized that there seems to be a real split among workers where technology is concerned. The group of workers who fall into the so-called Generation X category—those born from the 1960s to the early 1980s—are very comfortable with technology, probably because they literally grew up with it. This group of employees often finds technological change easy to deal with and something to look forward to. In fact, they typically get impatient with older workers who may encounter much more difficulty adapting. For this older group, new software and equipment seem to

be special sources of concern. Chapter 14 discusses overcoming resistance to change. Note, at this point, though, that one of the biggest steps to overcoming resistance is the securing of an open-minded trial of the new equipment or technique. Most of the time when employees actually get a chance to use a new machine or a new method, they see how they can be successful with the change. Encouraging employee participation in the evaluation and selection of new technology can also be very reassuring to everyone involved. Of course, managers must provide training or retraining. Rewards need to be made available where new ideas are tried. A supportive climate in all matters is important.

We have pointed out that technology is causing changes in jobs. Notably, many low-level, routine jobs are being eliminated. A challenge to organizations is providing for employees who are displaced by innovations. Retraining and relocation within the organization is appropriate when possible; helping displaced employees find new employment is another possibility. Perhaps we are looking at a period where there will need to be significant assistance from the state, local, or even national levels to prepare displaced workers to function in the Information Age. Thus, although many positive benefits take place through technology, managers must be on their toes to meet the accompanying challenges and opportunities.

SUMMARY

The level of technological utilization plays an important role in creating the climate in which employees work. Technology, in the first place, affects how and with what people work. Technology also influences the degree to which employees control their work pace and the amount of autonomy they can exercise. Technology influences the physical climate of the work environment. Technology can even impact the formal structure in which people work.

Technology also does many things from an organizational perspective. For example, technology provides a mechanism for integrating and coordinating all product-related activities. Technology aids (and in some ways dominates) the decision process and the monitoring of performance. Technology makes possible economics of scale, scope, and integration. This way, the production process not only can be improved but also can spread costs over larger numbers of products or services.

One of technology's greatest impacts has been in the area of communication. Organizations' information systems (IS) capabilities integrate, through the computer, numerous communication capacities, including electronic mail whereby messages can be sent and received instantly without the need for paper transactions. It is anticipated that in the near future, computers will become wireless, making them even more accessible. Voice mail, facsimile ma-

chines (both stationary and portable), and cellular phones are some additional methods that have improved and quickened the communications process.

Technology may change the location in which many people work and, in so doing, may change the family and personal lives of many workers. The movement to e-commerce and new cottage industry patterns may provide new opportunities for employees. Greater flexibility and reduced commuter time are indicative of the benefits that may occur from this trend. Outsourcing and virtual organizations may challenge our traditional ideas of what organizations should be like and how they should function.

Technology has a threatening impact on a number of employees. While Generation X employees often embrace technology, many older workers feel insecure and fear that machines and computers will replace them or make their skills obsolete. Employees often fear loss of control over the work pace and the work flow that they will be required to meet; sometimes their fears are realized as computers or machines step in and take control. Some workers actually feel that physical danger will result from technological processes, just as some people seem to have psychological fears when working with computers. Managing the technology of an organization in a way that employees can accept and adjust to technological changes is a definite challenge. Employees need encouragement and support to get them through periods of difficult adjustment.

QUESTIONS TO CONSIDER

1. Is technology a good thing for organizations to utilize even if it means displacing employees? Why or why not?
2. What ethical considerations are involved in implementing technology within an organization?
3. Why do some individuals fear technology—including being fearful of computers?
4. Someone has said that technology tends to run ahead of the culture and society in which the technology was developed. What did the person mean by this? Do you agree?
5. Do you have any cautions about the direction artificial intelligence is moving—that is, are you concerned about the use of artificial intelligence as a replacement for human decision making?
6. What problems (if any) do you foresee with the adoption of new technologies?
7. What managerial problems and challenges do you see in the movement of some workers to work at home? In e-commerce?

CHAPTER CASE:
RETOOLING THE DEALERS

"I'm sorry. There I go—flying off the handle again!" said Nancy Earhart to her husband, Mark. Nancy's downcast eyes, her hangdog expression, and the way she twisted her hands were sure signs to Mark that she really meant the apology and that she was upset and confused by the series of violent outbursts that had recently cast a cloud on their relationship. Mark asked Nancy to try, one more time, to explain what was going on to cause the extreme changes in her disposition that he was witnessing.

"Well," Nancy said, "I honestly think that part of it is a matter of circumstances—or at least I'd like to believe that that's the case. You know I love my job as a manufacturer's representative. It's exciting working between a major automobile manufacturer and the dealers, that's for sure. It really takes leadership—at least that's what I've told myself. I've got a group of independent dealers to bring into the manufacturer's programs to get cars sold. Change comes faster in the urban market than anywhere else. The dealers have to be ready to move fast to get ahead of their competition.

"Moving fast means analysis—the dealers need to keep up with the new automated forecasting and planning programs that are available today. There are many new things—things like the new program for custom specking (individually designing) each car so that it comes with a packaged system to meet the customer's need. That's the way to sell cars! But that's the problem.

"Two of the dealers in one of the metropolitan areas I work with are people who have recently come from small-town dealerships, and they've just plain gotten in over their heads. They're nice people, but they insist on going with their instincts rather than using computer data to make decisions. They don't trust the data generated by the computer. As a result they are one step behind their competitors in doing almost everything. I've talked with them several times, but they persist in doing things their way. I just don't know what I'm going to do with them."

Case Questions

1. Why are the small-town dealers having so many problems using the latest technology?
2. What should Nancy do?

GLOSSARY

artificial intelligence: The capacity of computers to make humanlike decisions.

CIM (computer integrated manufacturing): CIM is achieved when computers and other technological devices coordinate the activities involved in a production process from the beginning of the process (planning and scheduling) to the end of the process (distribution).

cottage industry: A development in which individuals work in their own homes to produce or process products, materials, services, or information rather than working at a central location.

CTO (chief technology officer): The CTO in an organization is responsible for seeing that the technology appropriate for the organization is identified, implemented, and correctly utilized. This person's responsibilities are organizationwide.

CTD (cumulative trauma disorders): Pain and stiffness of wrist, arm, and shoulder resulting from data input into computers over an extended period of time.

e-commerce: The process whereby individuals buy, sell, or otherwise exchange goods or services by using the computer Web.

economies of integration: Computer technology enables organizations to concentrate on the production of one product efficiently and then switch to production of another product without costly retooling and setup. In this way, both economies of scale and economies of scope can be achieved.

economies of scale: Production of a larger quantity of units so that the cost per unit is reduced as fixed costs are spread over more units.

economies of scope: Economies of scope occur when an organization can produce two or more products at a cost less than or equal to the cost of producing only one product.

electronic mail: Written information is exchanged between individuals at different locations by sending messages through their computers.

ergonomics: The study of the relationship between the worker and the workplace. In particular, the goal of ergonomics is to increase health, comfort, and productivity for each employee.

expert system (ES): A knowledge-based program whereby rules, probabilities, facts, and relationships are entered into a computer database by a human expert in a particular field. The computer can then give expertlike responses to questions and problems that arise.

IS (information system): The total set of processes used by an organization to collect, store, analyze, and communicate data.

neighborhood work center: A building located away from headquarters where people go to work rather than commute to the headquarters. Equipment and services are provided. Employees of several different organizations may go to a single work center.

robotics: The creation of mechanical units that act like humans and take the place of humans in the production process of an organization.

video display terminal (VDT): A technical term describing the screen on which desktop computer operators view the work they have put into the computer system.

voice mail: Through a network (usually of telephone lines), messages are sent using telephones. Machines record, store, replay, forward, or distribute messages for the appropriate individuals.

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