

Managerial and Leadership Behavior

Part I

The Evolution of Theories and Concepts Regarding

Managerial and Leadership Styles

Robert D. Cecil

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PART I:
The Evolution of Theories and Concepts Regarding
Managerial and Leadership Styles

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Introduction

The most basic responsibility of all managers and leaders is to get things done through people. This involves getting people to work—both individually and together. It also involves integrating (coordinating or meshing) people’s activities as they perform their various tasks. To be effective, managers must perform managerial (“integrative”) functions such as analyzing situations, goal setting, planning (programming, scheduling, budgeting), decision making, organizing, staffing, controlling (monitoring, reporting, and evaluating results), and problem solving. In the process, they must also interact with other people. [When we use the word “managers,” we are also referring to leaders, administrators, officers, foremen, and supervisors. These individuals perform essentially managerial roles inasmuch as they (a) have many of the same basic responsibilities as managers, (b) must involve themselves in most if not all integrative activities to some extent, and (c) must also interact with others.]

A managerial or leadership “style” can be defined in a number of ways. Simply put, it is how one behaves toward people in order to get things done through them. The three major elements of a managerial or leadership style are: (1) the basic approach one takes (or role one plays) with respect to the performance of integrative functions; (2) one’s motivational and integrative practices; and (3) one’s interpersonal behavior patterns, which are closely related to integrative roles and practices.

Although each manager’s set of practices and interpersonal behavior patterns is unique, management experts have identified a number of distinct styles. Each of these styles involves a different set of practices and behavior patterns.

Theorists and practitioners have devised numerous concepts and frames of references for describing the various styles and understanding why they are used. There are equally as many concepts and perspectives that can help managers maximize the motivation, development, and performance of their subordinates. In the four Parts of this segment of our management series, we (a) review many noted experts’ concepts regarding managerial behavior; (b) describe or explain certain concepts in terms of the others; and (c) integrate the various concepts into a comprehensive perspective for understanding and improving managerial behavior.

Part I describes the evolution of theories and concepts regarding managerial styles. It discusses the views of motivation theorists, organizational behavior theorists, and managerial and leadership behavior theorists. It also describes the various managerial styles, providing a detailed description of what we call the “High Task, High People Style.” This style is essentially the Theory Y, team, participative, or “9,9” Style, which we and others consider superior to other styles. We have enhanced its standard description by elaborating on the participative and developmental aspects.

Based on descriptions of managerial styles in Part I, Parts II and III provide a “factor analysis” of why managers behave in certain ways. The variables operate in, and influence managerial or leadership behavior in, all organizations. However, facts that correspond to the factors tend to vary from industry to industry, company to company, department to department, and job to job.

Part II explores how *external (non-personal) factors* can influence managerial attitudes and behavior. These factors include the characteristics of subordinates’ jobs, organizational variables, social factors and phenomena, and forces or factors outside organizations.

Part III explains how the *personal characteristics* of managers (and their subordinates) can influence managers’ behavior. Personal characteristics include needs and drives, values, personality traits, and various capabilities. We also introduce The Managerial Target,TM which is both a sophisticated model for understanding personal influences on managerial/leadership behavior and an innovative tool for managerial and leadership development.

Part IV summarizes and integrates the concepts and perspectives presented in the preceding Parts. First, it reviews the influences on managerial behavior and explains how they all must be dealt with “synergistically” (systemically and in a mutually reinforcing manner) in order to develop individuals and teams most effectively. Second, it describes several approaches to managerial and organizational development. One is our own “Synergistic Approach to Managerial and Organizational Development”—a “High Task, High People” approach for developing a highly task- and people-oriented “team” or “participative” organizational environment. It attempts to capitalize on the strengths and deal with the weaknesses of other approaches.

Benefis

An in-depth understanding of the various frames of reference, concepts, and perspectives presented in Parts I through IV can benefit all managers and management teams in several important ways.

Personal Benefits

First, managers can *understand* better why they behave as they do—by recognizing and analyzing the personal and external influences on their behavior.

Second, they can *identify their own particular style* more clearly—by comparing their behavior with the styles described in Parts I through IV.

Third, they can become *more aware of the effects of their styles on the behavior of their subordinates*—effects that are discussed in Parts I through IV.

Fourth, if they determine that their styles are not maximizing the motivation, development, and performance of subordinates, they can *improve their styles*. They can modify their behavior by adopting the attitudes, developing the integrative and interpersonal skills, and using the integrative practices that are recommended in Parts I through IV.

Team and Organizational Benefits

First, managers can become *more active and more effective influences on their subordinates' personal, technical, and managerial development*. Understanding why subordinates behave as they do gives managers the power to bring about improvements.

Second, they can understand more fully why their superiors, colleagues, and subordinates behave as they do. As a result, they can *interact more effectively* with them and help resolve conflicts.

In fact, where all members of a management team have been involved in a synergistic organizational development program, we have seen the following results:

- a. a greater than 50% improvement in the performance of managerial or integrative processes;
- b. a 50% to 100% improvement in boss-subordinate working relationships; and
- c. a 100% to 200% improvement in interdepartmental interactions.

All of these benefits impact the “bottom line” by helping to improve an organization’s short-term results and long-term viability and success.

PART I

The Evolution of Theories and Concepts Regarding Managerial and Leadership Styles

For thousands of years, managers, leaders, administrators, and supervisors have been trying to get high productivity or performance from their subordinates. Many have tried improving the tools, equipment, and/or methods being used. Others have tried improving the workplace. Many have also tried pushing people to work harder, often using the “stick” as an incentive. Some have tried using “carrots” instead of sticks. And some have used both carrots and sticks. All of these efforts revolved around a very simplistic equation: People (*plus*) tools or equipment (*plus*) some sort of motivation (*equals*) productivity.

As managerial behavior theory has evolved, we have seen a progression from machines—to people—to the integration of machines (or methods) and people.

The Engineers

The seeds of modern management theory were planted at the beginning of the Twentieth Century. They began to grow in factory settings.

First came the work of Frederick W. Taylor,¹ often called the “father of scientific management.” In 1911, Taylor outlined principles for achieving human/machine efficiency through time-and-motion studies. He believed that a best way could be found to perform each factory task most efficiently.

Taylor espoused four underlying principles of management:

- a. Develop a science of work to replace the old rule-of-thumb methods by which workmen operated. Workers should fulfill optimum goals in order to earn higher wages. Failure to reach high goals should result in a loss of earnings.
- b. Scientifically select and progressively develop each worker, training each to be “first class” at some task.
- c. For best results, somehow bring together the science of work and the scientifically selected and trained workers.
- d. Divide work and responsibility equally between workers and management, all of whom should cooperate together in close interdependence.

Taylor also believed in “functional management,” where-

in the tasks of every worker or manager are discrete and specialized.

In 1919, F. Gilbreth² wrote on motion analysis as a tool for increasing worker efficiency. Time-and-motion studies further evolved from his work.

Taylor’s and Gilbreth’s contributions were a mixed blessing. While they proposed ways to improve worker and machine efficiency, they focused too much attention on the shop floor for many years to come. On the plus side, however, they did pave the way for a rising interest in human engineering. They made it apparent that both the job and the machine could be redesigned for greater compatibility with human operators.

Early Industrial Psychologists

The next wave in the evolution of managerial behavior theory began with the Hawthorne Studies. This research project was conducted at the Hawthorne Plant of Western Electric between 1927 and 1932 by Elton Mayo and F. J. Roethlisberger³ of Harvard Business School. They began with experiments into the effects of illumination on productivity. Later came experiments on the effects of adding or lengthening work breaks, shortening the work day, and shortening the work week. During these studies, it became obvious that attitudes toward supervisors and co-workers were having an effect on research results. It also became apparent that the effects of wages, working conditions, and other job-related matters were being influenced by workers’ feelings and attitudes.

Mayo⁴ emphasized the importance of human emotions and reactions. He believed that . . .

- a. a sense of cohesiveness and self-esteem are more important to performance than working conditions;
- b. workers must accept leadership without reservation in order to perform well; and
- c. management-worker communication is vital.

The Hawthorne Studies were very instrumental in shifting researchers’ and theorists’ attention from machines to human beings. They also called attention to the role of motivation in work behavior. In addition, they signalled the

beginning of the human relations movement in the field of industrial psychology.

In the early 1920s, Max Weber⁵ focused his research on how individuals utilize and respond to authority in organizations. Many of his major points are now considered outdated and disproven.

Weber identified three types of “*legitimate authority*”:

Rational or Rational/Legal — based on system of rationally thought-out goals and functions designed to maximize the performance of an organization

Traditional — wherein authority was owed to the person rather than the office (e.g., as in a family business)

Charismatic — based on the particular qualities (e.g., personality) of an individual

He also outlined ten criteria for conducting business in a bureaucratic organization. Many of these assumptions and practices are still evident in many organizations:

- A. Officials are personally free.
- B. They are organized in a clearly defined hierarchy of offices.
- C. Each office has a clearly defined sphere of competence (in the legal sense).
- D. The office is filled by a free, contractual relationship.
- E. Candidates are selected on the basis of technical qualifications.
- F. They are remunerated by fixed salaries, with rights to pensions.
- G. The office is treated as the sole (at least primary) occupation of the incumbent.
- H. It constitutes a career. There is a system of promotion according to seniority, achievement, or both. Promotion is dependent upon the judgment of superiors.
- I. The official works entirely separated from ownership of the means of administration.
- J. He is subject to strict and systematic discipline and control in the conduct of the office.

The Motivation Theorists

During the 1940s, 1950s, and early 1960s, industrial psychologists were researching different aspects of work be-

havior. Several notable experts were interested in human motivation in general. Others were interested in on-the-job motivation in particular. We will discuss several theories of motivation in some detail at this point for four reasons.

First, motivation is a fundamental element of behavior. People’s motivation largely affects their use of capabilities and their on-the-job effort. Since motivation is a basic element of behavior, understanding motivation is a key to understanding work behavior.

Second, most managers are extremely interested these days in finding out what really motivates their subordinates.

Third, managers’ views of what motivates their subordinates largely influence how they behave toward their subordinates. Thus, different managerial styles involve different approaches to motivating people.

Fourth, a basic understanding of motivation theories helps us to understand why certain managerial styles are more effective than others.

Although many external forces can stimulate human behavior, we are prompted, urged, or induced to behave by our values, interests, goals, expectations, and needs or drives.

Values represent the importance we attach to certain matters, to certain modes of coping with everyday life, and to certain aspects of our relationships with others. Values also influence the development of our personality traits to a great extent.

Interests are (degrees of) positive attitudes toward objects and activities.

Goals are future-oriented impressions (or statements) of our desires and intentions concerning, for example, who we want to be, what we want to do, and what we want to have.

Expectations represent what we think we can or should be, do, and have.

Our most fundamental urges, however, are our basic (internal) *needs or drives*.

Figure 1: Maslow's Hierarchy of Needs/Drives



Maslow's Hierarchy of Needs

One of the most well-known and widely used frames of reference regarding basic needs or drives is the Hierarchy of Needs developed by Abraham Maslow (1943).⁶ Maslow grouped various human needs/drives into five categories: *physiological*; *safety*; *social*; *ego*; and *self-actualization*. His arrangement of these categories into a hierarchy (portrayed as a pyramid in **Figure 1**) is based upon several general observations and conclusions about human motivation and behavior. He observed, for example, that human beings are seldom if ever completely satisfied. When we get something we want, we turn to wanting something else. Similarly, when one of our needs is satisfied, our behavior becomes directed toward satisfying another. From these observations he concluded that . . .

- a. unsatisfied needs are motivators; satisfied needs are not; and
- b. certain needs must be adequately satisfied before others can become motivators of behavior.

At the lowest level of the hierarchy are *physiological needs*: food, water, exercise, sex, rest, excretion, and the avoidance or minimization of pain. These are essentially *self-preservation needs*. When inadequately satisfied, they are the most intense motivators of behavior (since inadequate satisfaction results in physical pain or discomfort). If, for example, we have not been able to eat for several days, our behavior can become almost entirely directed toward satisfying our intense hunger (and relieving the physical discomfort that accompanies it). Likewise, we will be inclined to live only for water, sexual gratification, and other physiological needs when they are stimulated or aroused, but are inadequately satisfied.

When physiological needs are regularly and adequately satisfied, however, their motivating effect on behavior decreases. This awakens previously "dormant" needs at the

next higher level, increases their intensity, and makes them the predominant motivators of behavior.

These higher-level needs are *safety needs*: protection against physical harm or attack, danger, deprivation, and other external causes of physiological pain or discomfort. Since safety needs reflect some degree of consciousness of our physical well-being, they are both physical and psychological needs. If they are adequately satisfied, we experience psychological pleasure in the form of a sense of physical well-being. If, on the other hand, they are inadequately satisfied, we experience psychological discomfort in the form of fear—a motivator second in intensity only to actual physical pain.

According to Maslow, when physiological needs are regularly and reasonably satisfied, and when there is also a sense of physical well-being, higher-level needs become the predominant motivators of behavior. These are *social needs*: association (affiliation) with others; a sense of belonging; giving and receiving friendship or love; and the acceptance or approval of others.

Once social needs are reasonably fulfilled, they become less intense and higher-level needs become the predominant motivators of behavior. Maslow called these *ego needs*, which he put into two groups. Those that he associated with *self-esteem* include a personal identity, self-respect, self-confidence, independence, competence, knowledge, and personal achievement. Those that he associated with one's *reputation* include status, recognition, and the respect and admiration of others. The needs to dominate and to excel can also be associated with ego needs.

When ego and lower-level needs have been adequately satisfied, needs at the top level become motivators of behavior. Maslow called these *self-actualization* or *self-fulfillment needs*: personal growth and development; the attainment of one's potential capacities; and becoming what one has the potential to become.

Maslow and several others have observed that, because most U.S. citizens enjoy a reasonably high standard of living, our physiological and safety needs are adequately satisfied—unless we experience, for example, a fire, a natural disaster, a serious illness, or a crime wave, each of which can cause either a temporary or a prolonged regression to physiological and/or safety need levels. Social needs also appear to be reasonably satisfied in most Americans. Maslow estimated, however, that ego needs are satisfied in only about 3% of our society, making these needs the most intense motivators of behavior in the great majority. According to Maslow, this means that the behavior of most people is directed primarily toward protecting and improving their self-esteem and reputation. It also means that self-actualization drives are lying dormant in most of us and

that very few people are self-actualizing (motivated to put forth the effort to improve ourselves and become what we have the potential to become).

Although Maslow's hierarchy is presented in nearly every course or seminar on motivation and managerial styles, one seldom hears about studies that contradict Maslow's model. One such study by Hall and Nougaim (1968)⁷ found that need intensity correlated positively with need satisfaction. In other words, they found that the more a need is satisfied, the more intense (important) it becomes. A second study by Lawler and Suttle (1972)⁸ and a third study by Wahba and Bridwell (1976)⁹ indicated that Maslow's hypotheses could not be validated. Recent research suggests, therefore, that Maslow's Hierarchy of Needs contains two types of problems: (a) content problems involved the types of basic needs; and (b) process problems involve the dynamics of movement up the hierarchy.

Even though some have discarded Maslow's Hierarchy of Needs concept, it still provides useful insights into human motivation and behavior. Therefore, it will be integrated with other motivation theories at the end of this section. The integrated version takes account of both content and dynamics issues.

McClelland's Needs Theory

The needs theory developed by David McClelland (1961)¹⁰ also deserves mention. McClelland focused on the needs for *affiliation*, *power*, and *achievement*, believing that they are primary motivators of people's behavior. We relate his *need for affiliation* to Maslow's social needs. We associate his *need for power* with ego needs such as the needs for self-esteem, a personal identity, status, and the respect of others. The needs to dominate others and to control one's environment are also involved. In our view, the *need for achievement* ("N-Ach") is primarily an ego need, but may also be related in certain respects to self-actualization needs.

Initially, McClelland seemed to believe that good managers demonstrate a high need for achievement. In 1976, however, he published an article in which he said, "Contrary to what one might think, a good manager is not one who needs personal success or who is people-oriented, but one who likes power."¹¹

Alderfer's "ERG" (Needs) Theory

In his model, Alderfer (1969)¹² proposed three basic sets of needs. His *existence needs* include material needs that

are satisfied by environmental factors such as food, water, pay, fringe benefits, and working conditions. His *relatedness needs* involve the maintenance of interpersonal relatedness with significant people such as friends, co-workers, superiors, subordinates, and families. His *growth needs* involve seeking opportunities for personal development.

Alderfer's and Maslow's models differ both in content and process. While Maslow's model contains five needs, Alderfer's contains three. Maslow's process involves "fulfillment-progression." This means that the fulfillment of one type of need leads to progression up the hierarchy. Alderfer, on the other hand, takes account of two processes: (a) fulfillment-progression; and (b) frustration-regression. In the latter process, an individual regresses to satisfying lower-level needs that can be satisfied when the fulfillment of a higher-level need is somehow blocked. In terms of process, therefore, Alderfer's model is more encompassing and a bit more true-to-life than Maslow's.

Need-based theories are not the only ones suggested.

Behaviorist Theories

These theories are based on associations between Stimulus — Response — Reward. First expounded by Watson (1913 through 1929),¹³ "behaviorism" initially denied the existence of thought processes—even in humans. It was largely based on the "conditioned reflex" experiments with dogs conducted by Pavlov (circa 1900),¹⁴ and on the rat behavior conditioning experiments conducted by Skinner (circa 1938).¹⁵ Hull (1943)¹⁶ revised earlier concepts and fathered what is now called *reinforcement theory*. This theory holds that the level and direction of energy expenditure can be changed by altering either the positive feedback being given for desirable behavior or the negative feedback being given for undesirable behavior.

Forms of *positive feedback*, often called "reinforcers," "positive strokes," or "warm fuzzies," include: praise; rewards; attention; approval; acknowledging status; giving recognition; conferring increased status; expressing support or concern; expressing love or affection; giving information; and allowing some influence in decision-making.

Forms of *negative feedback*, often called "aversive stimuli," "negative strokes," or "cold pricklies" include: criticism; blame; sarcastic remarks; punishment; reprimands; reproof; ridicule; ignoring or rejecting; not listening to person; ostracizing person from the group; withholding/with-

drawing approval; reducing status; withdrawing security; treating person arbitrarily, impersonally, or inconsiderately; and excessively directing a subordinate.

These are some of the basic principles of reinforcement theory:

1. Any behavior pattern (response) followed immediately by positive feedback has a greater probability of occurring in the future.
2. Any behavior pattern (response) not immediately followed by positive feedback has a lesser probability of occurring in the future.
3. Any response followed immediately by mild negative feedback has a lesser probability of occurring in the future.
4. Any behavior pattern followed immediately by strong negative feedback (punishment) leads to either avoidance behavior or aggressive behavior.
5. Following a response with the cessation of negative feedback increases the probability of the response occurring again.
6. To generate a positive response to a neutral object, pair/associate the neutral object with a positive stimulus (reinforcer).
7. To generate a negative response to a neutral object, pair/associate the neutral object with an aversive stimulus.

Instrumentality Theories

Instrumentality theories are based on the proposition that we decide to engage in an activity if we perceive that it will somehow benefit us. In order to determine whether or not the activity might be “instrumental” in achieving some valued outcome, we ask ourselves, “What’s in it for me,” and “Is the time or effort worth it?”

Georgopolous, Mahoney, and Jones (1957)¹⁷ proposed the first work-related version of instrumentality theory. Labeled the *path-goal theory*, it held that a worker will tend to be a high producer (or low producer) if he or she sees high productivity (or low productivity) as being a path to achieving one or more personal goals.

In 1964, Vroom¹⁸ proposed the *VIE Theory*. “V” stands for “valence”; “I” stands for “instrumentality”; and “E” stands for “expectancy.” This theory assumes that people ask themselves whether or not (a) the activity has a high probability of leading to an outcome (expectancy); (b) that

outcome will lead to other outcomes (instrumentality); and (c) those other outcomes have some value (valence).

In 1968, Porter and Lawler¹⁹ proposed another work-related version of instrumentality theory. They observed that people tend to (a) anticipate future pleasant and unpleasant outcomes of activities, and then (b) choose among alternative actions accordingly, hoping that actual rewards will match expected rewards. They also distinguished between types of rewards. *Intrinsic rewards* satisfy higher-level needs and are administered by individuals to themselves. *Extrinsic rewards* are those administered by others (e.g., by supervisors or by the organization).

Balance Theories

These theories hold that behavior is initiated, directed, and sustained by a person’s trying to maintain an internal balance of psychological tension. Most work-related versions of balance theory are based on the *theory of cognitive dissonance* developed by Festinger (1957).²⁰ This model proposed that (1) conflicting cognitive-emotional perceptions or impressions create psychological tension within an individual; (2) this tension (inner conflict) is unpleasant; and (3) the individual will act to relieve the tension.

Clinical Psychologists’ Motive/Interest Theories

During the 1960s, clinical psychologists were presenting various motivation-related frames of reference. Although these frames of reference are not need theories or motivation models per se, they do deal with “motive factors” such as values and interests.

Allport, Vernon, and Lindzey published their *Study of Values*²¹ in 1960. This psychological instrument measures the relative degrees of importance that a person attaches to what we call “valued matters”: economic matters (business success, money, material things, and practicality); political matters (power, authority, or influence over other people); social matters (altruistic concern for, or love of, people); theoretical (intellectual) matters (knowledge, study); aesthetic matters (beauty, harmony, grace); and religious (spiritual) matters.

In 1960, Gordon published his *Survey of Interpersonal Values*.²² This instrument measures the relative importance that a person attaches to the following: support; conformity;

Table 1: Herzberg's Maintenance (Hygiene) and Motivator Factors

	<u>Basic Internal Needs Primarily Affected</u>	<u>Other Basic Internal Needs Affected</u>
Maintenance (Hygiene) Factors		
1. Organizational Policies and Administration		All Needs
2. Technical Managerial or Supervisory Practices		All Needs
3. Interpersonal Relations with Manager or Supervisor	Social Ego	
4. Working Conditions	Physiological Safety	Social Ego
5. Salary, Wages, Benefits	Physiological Safety, Ego	Social Self-Actualization
6. Relationships with Co-Workers	Social, Ego	
7. Personal Life		All Needs
8. Relationships with Subordinates	Social, Ego	
9. Status	Ego	
10. (Job) Security	Physiological Safety	Social, Ego Self-Actualization
Motivator Factors		
1. Opportunity for Personal Achievement	Ego Self-Actualization	
2. Recognition	Ego	
3. Interesting Work	Ego Self-Actualization	
4. Responsibility (and freedom to act independently)	Ego Self-Actualization	
5. Opportunity for Advancement	Ego Self-Actualization	
6. Opportunity for Personal Growth and Development	Self-Actualization Ego	

By enabling personnel to develop, advance, and take advantage of more favorable hygiene factors, motivator factors also enable them to satisfy lower-level needs more fully.

recognition; independence; leadership; and benevolence (toward others).

In 1967, Gordon published his *Survey of Personal Values*.²³ This instrument measures the relative importance that a person attaches to what we call “coping values”: practical-mindedness; achievement; variety; decisiveness; orderliness; and goal-orientedness.

With respect to (occupational) interests, Frederic Kuder published his *Kuder Preference Record*²⁴ in 1948. This instrument measures the degree of interest in each of the following occupational areas: mechanical; computational; scientific; persuasive; artistic; literary; musical; social service; clerical; and outdoor. Other instruments measure interests in vocational and avocational areas.²⁵

Herzberg’s Need-Based, Two-Factor Theory

The theories formulated by Frederick Herzberg (1966) deal more directly with people’s motivation on the job than do earlier need theories. He identified two sets of work-related needs: *maintenance factors* and *motivator factors*.²⁶ Both sets of factors are listed in **Table 1**.

Herzberg’s theories, which we will discuss in some detail here, are both descriptive and prescriptive. Although his theories are very popular, some experts have complained that he has not explained the origins of these two types of needs. As shown in **Table 1**, we believe that Herzberg’s maintenance and motivator factors can be partly explained in terms of Maslow’s basic internal needs.

Maintenance factors, originally called “hygiene factors,” are important to personnel because they are essentially vehicles through which one or more basic internal needs can be satisfied. For example:

Money, rather than being a need in the sense of basic internal needs/ drives, is actually a “vehicle” (medium of exchange) for obtaining necessities of life such as food and shelter. Money can also be used as a vehicle for enhancing self-esteem, gaining others’ acceptance, achieving recognition, gaining social status, and satisfying other basic needs or drives. In fact, when higher-level needs such as self-esteem, status, power, and recognition cannot be fulfilled on the job, people often use whatever money they can make to “buy” satisfaction of these needs off the job (e.g., by purchasing status symbols such as bigger cars or nicer homes, or by paying higher dues to join more prestigious clubs).

Job security represents a steady income with which an individual can fulfill personal and family needs over the long term. Thus, it can reduce the fear of deprivation and strengthen the sense of long-term physical and psychological well-being.

Working conditions primarily affect personnel’s physical comfort and safety, but can affect the satisfaction of their social and ego needs as well.

Interpersonal relations with superiors, co-workers, and subordinates are vehicles through which social and ego needs can be fulfilled.

Managerial or supervisory practices can affect the fulfillment of all basic needs/drives (as will be discussed throughout Parts I, II, III, and IV of this segment). Organizational policies and administration affect job security, working conditions, interpersonal relationships, managerial and supervisory practices, and other factors—all of which, in turn, affect the fulfillment of various basic needs/drives. Thus, when maintenance factors are adequate, they contribute to the satisfaction of one or more basic needs. But when they are inadequate, they contribute to a lack of satisfaction of various needs.

Motivator factors, too, are essentially vehicles through which basic internal needs/drives can be fulfilled. As indicated in **Table 1**, they primarily affect the fulfillment of higher-level ego and self-actualization needs. By enabling personnel to advance and to take advantage of more or better maintenance factors, they also enable personnel to satisfy lower-level needs more fully. When motivator factors are present and adequate, they contribute to the satisfaction of one or more needs. But when they are either absent or inadequate, they contribute to a lack of satisfaction of various needs.

As we said in the second paragraph on Herzberg, the importance of maintenance and motivator factors can only be partly explained in terms of basic internal needs. To explain them more fully—in terms of a particular individual or group of individuals rather than people in general—we might also consider related values, interests, and goals. Examples: People who are high in economic and practical-mindedness values and/or have high economic goals would tend to perceive salaries, wages, benefits, job security, and opportunities for advancement as being important. Those who are high in the political value and/or have high leadership or power goals would tend to see relationships with their superiors and opportunities for advancement as being

important. Those who are high in the social value and in social extroversion (a personality trait) would tend to see interpersonal relations with co-workers, subordinates, and superiors as being important. Those who are interested in persuasive pursuits would tend to see interpersonal relationships as being important.

In addition to needs/drives, values, interests, and goals, one's capabilities and environment must also be considered. In general, people value, and are interested in, those matters or areas where they are most capable of receiving, and are most organizationally able to receive, the most positive feedback. This means that, unless organizational factors such as the work itself, organizational policies and procedures, and managerial practices block the generation and reception of positive feedback, the areas of most value or interest tend to be those for which people have the best capabilities.

In very general terms, then, we think that people tend to value (perceive as important) and to be partly motivated by those matters or areas wherein they can most regularly receive positive feedback and adequately satisfy higher-level needs—particularly ego needs. If, however, fulfillment of ego needs (for power, achievement, status, reputation, etc.) cannot be fulfilled on or through the job, people will regress to satisfying social needs on the job, and will tend to use their wages or salaries to satisfy ego needs off the job.

Herzberg pointed out that there are numerous ways to induce subordinates to do something. Several involve the use of maintenance factors as “negative and positive stimulators.”

Negative physical stimulators include “kicks in the pants” (in the literal sense), threats of physical punishment, and actual physical punishment. Threats of painful physical punishment stimulate subordinates by primarily threatening the satisfaction of their physiological and safety needs. They also threaten the fulfillment of their social and ego needs. Being physically punished reduces one's self-esteem and reputation and jeopardizes relationships with individuals and social groups. Actual kicks in the pants and physical punishments stimulate subordinates by actually reducing the fulfillment of their physiological, safety, social, and ego needs, thereby backing up threats and reinforcing the effectiveness with which they can be used. Although negative physical stimulators have been used rather frequently in the past, they are seldom used today in our

society. This is largely because they have become socially unacceptable, and also because they can generate antagonism and physical retaliation.

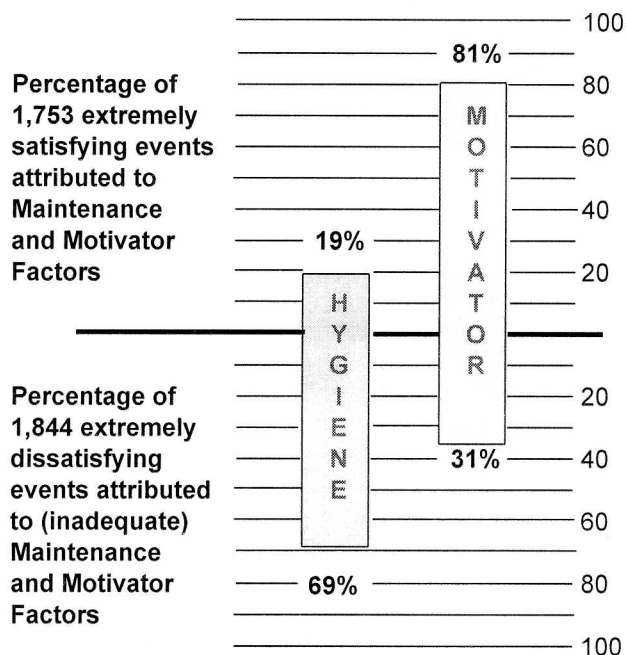
Negative psychological stimulators are psychological threats and punishments involving, for example, the withholding or withdrawal of the following: status; job security; privileges; pay raises; benefits; promotions; good working conditions; information; and managerial trust or loyalty. Again, threats stimulate subordinates by threatening the fulfillment of one or more basic internal needs. They also threaten satisfaction of motive forces such as values, interests, and goals. Punishments stimulate by actually reducing the satisfaction of various needs, values, interests, and goals, thereby backing up psychological threats and reinforcing the effectiveness with which they can be used. For several reasons, negative psychological stimulators are used quite often today: (a) they are still more or less socially acceptable; (b) subordinates do not always recognize that their psychological vulnerabilities (needs, fears) are being played upon; (c) any resulting psychological pain is invisible and more or less tolerable; and (d) any resulting harm to subordinates can be blamed rather easily on “the system.”

Positive stimulators are promises of rewards and actual rewards involving the following: increased status; more privileges; higher pay; more benefits; promotions; better working conditions; greater trust; and more interpersonal attention. Promises of rewards stimulate because they offer personnel opportunities to increase the fulfillment of one or more needs, values, interests, or goals. Actual rewards stimulate because they contribute to the satisfaction of one or more motivational factors, thereby backing up promises and reinforcing the effectiveness with which they can be used.

Herzberg likened the use of maintenance factors as positive stimulators to the use of carrots or sugar—to entice people into doing things more willingly and to reward them for behaving in the desired manner. Put another way, using maintenance factors as positive stimulators is like pulling instead of pushing. The use of positive stimulators has grown as managers have found that carrots work better than sticks in most situations.

Although maintenance factors can be used to stimulate personnel and get them moving, there are three key questions regarding their use.

Exhibit 1: Summary of Research Data on Maintenance and Motivator Factors



1. Can maintenance factors, when used either negatively or positively, really satisfy personnel?

Herzberg had little doubt that negative stimulators cannot. When maintenance factors are being withheld or withdrawn in order to threaten or punish, they are certain to be more or less inadequate. Herzberg pointed out that *inadequate maintenance factors create dissatisfaction*. Dissatisfaction generates resentment and antagonism, which in turn cause personnel to reduce their effort and cooperation.

Maintenance factors can be inadequate even when they are being used as positive stimulators. The fact that personnel are being given rewards does not necessarily mean that they are receiving enough rewards to satisfy their needs and other motives fully. It must be acknowledged, however, that inadequate positive use of maintenance factors generally results in milder dissatisfaction and less reduction in effort and cooperation than when these factors are being withheld or withdrawn.

2. If maintenance factors are used positively and are made more than adequate, will they not satisfy personnel enough to motivate them?

Apparently they will not. Herzberg found that improving or increasing maintenance factors to adequate levels can remedy most existing dissatisfaction. But he also found that raising them above adequate levels does not fully satisfy and really motivate personnel. Proof of this, we think, can be seen in those who have much more than adequate salaries, benefits, status, time off, working conditions, and social relationships, but are still not especially happy or productive on the job.

3. The question at the heart of the matter is, "Does either negative or positive use of maintenance factors constitute motivation?"

According to Herzberg it does not. He points out that the person being stimulated will move, but the individual doing the stimulating is really the one who is motivated. He also points out that externally stimulated movement is short-lived and that stimulation must be applied continually to obtain continual movement. In his opinion, this does not constitute "motivation." He believes that personnel are motivated when they want to do something, need no external stimulation, and continue to move under their own power.

Through his research, Herzberg determined that motivator factors—not maintenance factors—are the real keys to motivation.

In 1968, Herzberg reported the results of twelve studies conducted by himself and others.²⁷ These studies involved a total of 1,685 males and females who varied widely in terms of age, background, education, occupation, organizational level, income, and other factors. In the studies, individuals reported events that caused either extreme satisfaction or extreme dissatisfaction on the job. The data that were compiled are summarized in **Exhibit 1**.

Of 1,844 recorded events considered responsible for extreme dissatisfaction on the job, 69% were attributed to inadequate maintenance factors, whereas 31% were attributed to inadequate motivator factors. Of 1,753 recorded events considered responsible for extreme satisfaction on the job, 81% were attributed to motivator factors, whereas only 19% were attributed to maintenance factors. In fact, each of the six motivator factors was more frequently re-

sponsible for extremely satisfying events than any one of the ten maintenance factors.

Based on these data and several of his observations mentioned above, Herzberg drew two significant conclusions:

1. *Maintenance factors are primarily responsible for dissatisfaction on the job. Thus, the absence of dissatisfaction depends mostly upon adequate maintenance factors (used positively).*
2. *Motivator factors are primarily responsible for high job satisfaction, high on-the-job motivation, and high job performance.*

Because maintenance factors have become associated with dissatisfaction rather than motivation, they are often called “*dissatisfiers*.” These factors are listed in **Table 1** (page) in descending order of frequency with which they were connected with dissatisfying events recorded in the twelve studies summarized by Herzberg. It should be pointed out that, as a group, *organizational policies and administration* (first factor), *managerial or supervisory practices* (second factor), and *relations with superiors* (third factor) were responsible for extremely dissatisfying events more than twice as often as factors four through ten as a group. This generally surprises many managers and supervisors who believe that factors such as pay and working conditions are responsible for most motivational problems encountered in their organizations.

Because motivator factors have become associated with motivation rather than stimulation, they are generally called “*motivators*.” These factors are listed in **Table 1** (page 9) in descending order of frequency with which they were considered responsible for extremely satisfying events.

Motivator factors are more effective motivators than maintenance factors for two reasons.

Herzberg pointed out the first reason: Maintenance factors are a less effective *type* of motivator than motivator factors.

Maintenance factors are “*extrinsic motivators*” — that is, they are related much more directly to the job environment than to the work itself. This means that if the work itself is not intrinsically satisfying and motivating (does not inherently satisfy inner needs, drives, or other motives, thereby “automatically” generating interest, commitment,

and effort), then raising maintenance factors to increasingly higher levels cannot increase the motivation within an individual. In short, the motivational effects of maintenance factors are limited.

Motivator factors, on the other hand, are “*intrinsic motivators*.” Unlike maintenance factors, they can be incorporated into or associated with the work itself, thereby making it more inherently satisfying and motivating.

Herzberg proposed job enrichment as a means for incorporating motivator factors into people’s jobs. One mode of job enrichment he suggested was to make jobs more complex, less routine, and less boring by redesigning and/or restructuring the tasks involved.

He also recommended that managers do the following:

- a. make jobs more challenging, so they offer greater opportunity to achieve something significant and worthwhile (first motivator factor);
- b. demonstrate recognition of and respect for subordinates’ capabilities, potentials, and worth (second factor);
- c. give praise or recognition when challenging tasks have been done well (second factor);
- d. make jobs more meaningful and therefore more interesting (third factor);
- e. give subordinates greater responsibility for their own performance and greater independence to act on their own initiative (fourth factor);
- f. provide more opportunities for advancement (fifth factor); and
- g. provide more opportunities for personal growth and development (sixth factor)—particularly opportunities for personnel’s development of technical, functional, integrative, and interpersonal skills that affect their qualifications for advancement.

We believe that there is an important second reason for motivator factors being more motivating than maintenance factors: *Motivator factors contribute more to the fulfillment of (a) highly motivating higher-level basic internal needs, and (b) any values, interests, or goals associated with them.*

It must be acknowledged that, in one way or another, most maintenance factors contribute to the fulfillment of, or the ability to fulfill, both lower- and higher-level needs (and any other associated motives). Motivator factors, however, contribute primarily to the fulfillment of, or the ability to fulfill, higher-level needs—particularly *ego needs* such as

the needs for competence, independence, achievement, power, and recognition. This is significant because, in our opinion, ego needs are the most intense inner motivators of most personnel's behavior. When ego needs and associated motives can be fulfilled through the work itself, personnel tend to work harder and to perform better—as if they had built-in generators motivating them and keeping them moving under their own power.

Later, when we discuss the participative managerial and leadership style, we will point out that encouraging and guiding subordinates' participation in integrative functions (goal setting, planning, decision making, problem solving, etc.) amounts to incorporating motivator factors into subordinates' jobs. In a sense, doing so is like helping to make subordinates' jobs “their own babies”—instead of the boss's or the organization's.

A Synthesis of Motivation Theories

In the section above we have discussed several motivation theories—some briefly and some in detail. We covered need theories, instrumentality theories, reinforcement theories, balance theories, and even clinical frames of reference. Unfortunately, none of these theories by themselves satisfactorily explain the extremely complex subject of motivation. Instrumentality theories, for example, are deficient in terms of content, while need theories are deficient in terms of process. Each theory, it seems, attempts to explain motivation from a different perspective. Consequently, no one theory is altogether right or altogether wrong. Each, however, may be right about certain aspects of motivation. Thus, each may be one piece of the entire pie.

We cannot possibly integrate all the work and theories of various researchers here. We have, however, developed a working model of our own that helps us to understand how and why people are motivated to behave in various ways. This model is **Figure 2** on the next page. It contains elements of drive/need theories, instrumentality theories, behaviorist (reinforcement) theories, Gestalt theories, neurophysiological theories, clinical psychology (trait) theories, balance theories, path-goal theories, approach-avoidance theories, psychoanalytic theories, introvert-extrovert theories, and work motivation theories. The model's contents and processes are highly interrelated.

Basic Neurological Mechanisms

The central nervous system of human beings is made up of nerve cells arranged into thread-like tracts and functional

groups or bodies. *Receptor nerves* sense external/environmental stimuli (e.g., sound, light) and internal stimuli (e.g., glandular and muscular changes). *Afferent nerve pathways* conduct sensory information from receptors through the *spinal cord* to the *brain*. The spinal cord also contains *efferent nerve pathways* that conduct messages from the brain to muscle- and gland-activating *effector nerves*. Atop the “CNS” are the *brain stem* and the extremely complex brain itself.

The *brain* contains several functional areas. *Sensory areas* convert impulses from receptor nerves into sight, sound, taste, smell, touch, and muscle activity sensations. *Interpretive areas*, which include memory and reasoning areas, are responsible for (a) translating sensations into meaningful perceptions, and (b) formulating behavioral responses to perceptions and experiences. *Memory areas* contain organized patterns of nerve cells that represent (a) previously recorded visual, auditory, and motor sensations, and (b) previously recorded impressions of emotional reactions to experiences. *Reasoning areas* perform logical operations (logical thought involving information stored in memory areas). *Motor areas* translate the brain's messages into impulses that stimulate muscular movement.

The entire system is made up of nerve cells. All the processes that occur within the system are essentially electrochemical reactions within and between nerve cells.

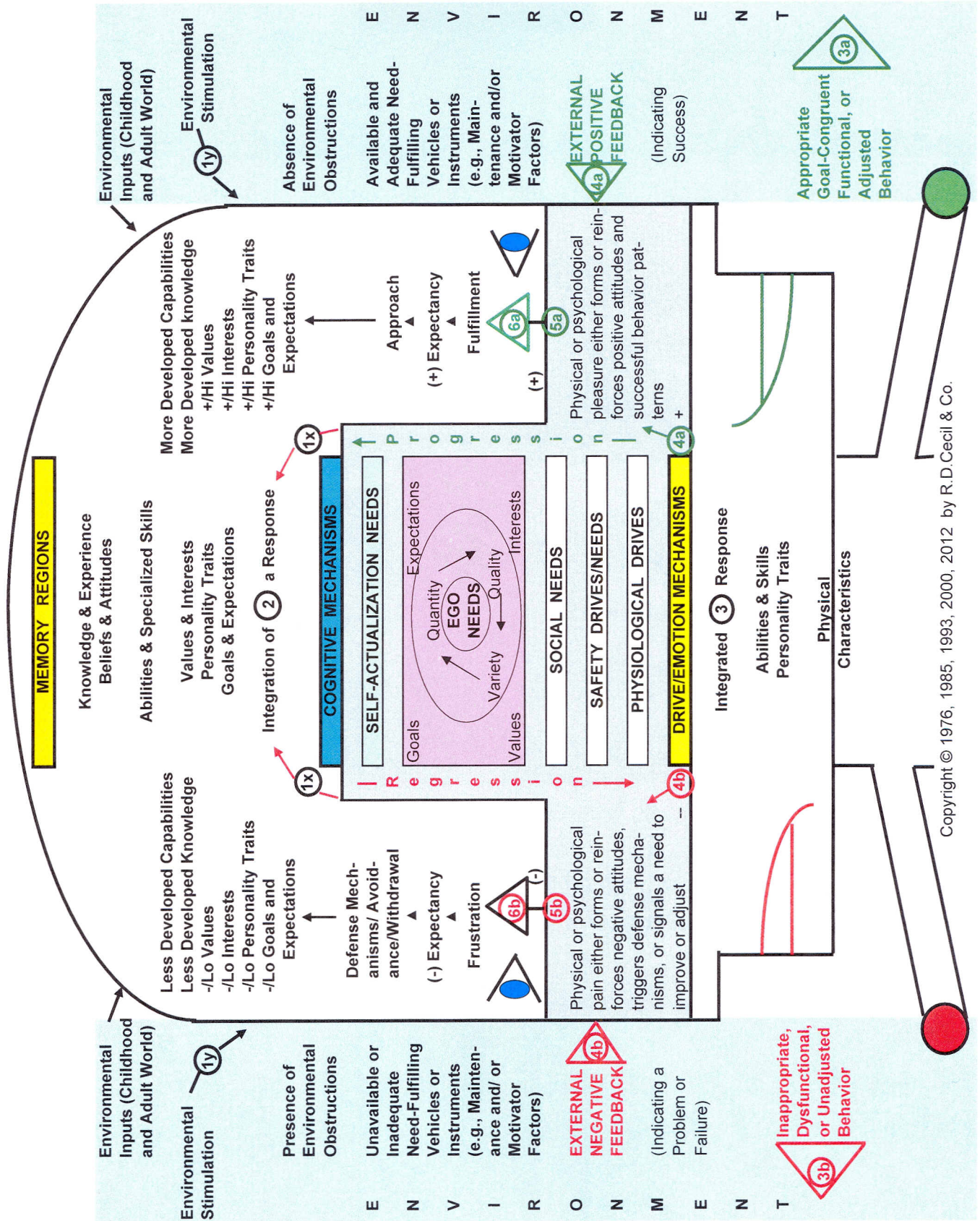
Certain neurological mechanisms in the brain induce and/or enable complex human behavior.

Drive/Emotion Mechanisms: According to neurophysiologists, these mechanisms are located in the *limbic system*. This system is made up of parts of the brain stem and lower brain. It is responsible for certain drives and for generating emotional responses to what we experience.

Memory Mechanisms: These mechanisms involve not only memory regions, but also interpretive areas and the limbic system (which apparently signals memory areas to record particular perceptions).

Cognitive Mechanisms: These mechanisms involve interpretive, memory, and reasoning areas. They are responsible for our (a) perception of the environment, (b) awareness of ourselves and our interactions with the environment, and (c) formulation of behavioral responses to the environment.

Figure 2: Synthesized Model of Personal and External Factors That Influence Motivation and Behavior



The Most Basic Drives/Needs

Drive/emotion mechanisms are responsible for basic, instinctive (“built-in”) drives that are common among all animals. These drives must be satisfied if human beings and lower animals are to survive. In order to satisfy them, we and other animals must interact with our environment.

Physiological drives, the “purest” and most basic, are essentially biological or self-preservation drives. They can be activated when nervous system mechanisms “sense” chemical and hormonal imbalances or changes in the body. They can also be aroused or stimulated by environmental stimuli such as the smell of food or the sight of a physically attractive member of the opposite sex.

Safety drives/needs are also instinctive self-preservation drives in all animals. They tend to be aroused by perception of unfamiliar and/or irregular environmental stimuli (such as a sudden motion or loud noise). In human beings, safety is a matter of “psychological needs” as well as an instinctive drive. Having the most well-developed cerebral mechanisms for perception and awareness, we can be cognitively aware of whether or not we are safe. We therefore “need” to know that we are, in fact, safe. (On the job, maintenance factors such as safe working conditions are “vehicles” or “instruments” for fulfilling these needs.)

Social drives/needs are more complex in human beings, also. Lower animals display instinctive, genetically-inherited drives to form into groups (e.g., pride of lions, swarm of bees, colony of ants) and work together to cope with their environment and fulfill physiological and safety drives. Although humans have these drives, too, we also have associated social needs. These are a function of human awareness (cognition) that interaction with other people is necessary in order to satisfy various drives, needs, and other motives. This is particularly true in our specialized society, where people have come to depend on each other for goods and services. (On the job, maintenance factors such as good relationships with co-workers, supervisors, and superiors are vehicles or instruments for fulfilling social needs.)

In our view, “drives” are the most basic and instinctive. Human “needs,” on the other hand, are learned, conditioned, or developed, involve cognition, and are more psychological than biological in nature. Both, however, are “motive forces” that “drive” us into interacting with our environment.

What many people have referred to as “drives” and “psychological needs” are actually neurological phenomena. In fact, eating, seeking safety, and interacting socially may all be genetically-inherited, instinctive behavior patterns. Calling them “drives” or “needs,” therefore, is obviously simplistic and somewhat inaccurate. Nonetheless, we think that categorizing these phenomena, naming them “drives” and “needs,” and thinking about such phenomena in these terms is useful.

Developmental Processes and Other Human Characteristics

Our birth initiates life-long learning, conditioning, and developmental processes. Through such processes we acquire, develop, and modify other attributes or characteristics: knowledge factors; basic abilities; specialized skills; values; interests; goals; expectations; personality traits; and “high-level needs.” These, too, are essentially neurological phenomena, inasmuch as they are all represented in memory areas by organized patterns of nerve cells. Before discussing higher-level needs, let us first discuss the other attributes.

Basic abilities and specialized skills: Early in life, parents either teach us (or help us learn) the following basic abilities: (a) how to move in a coordinated manner; (b) how to focus attention on the environment, so that information and experience can be acquired and recorded in memory; and (c) how to speak. From teachers we learn basic verbal (reading, writing) and arithmetic abilities. The educational process develops our abilities to learn and to think logically (class/deductive logic and propositional/inductive logic). As we engage in various family, work, and social activities, we learn specialized skills from friends, trainers, co-workers, and bosses (e.g., how to operate a machine; how to play tennis).

Knowledge (and experience): All that we sense, interpret, and record in memory constitutes “experience.” Here, however, we use the term “knowledge” to refer to recorded information of a more cognitive, factual, or rational (vs. emotional) nature—e.g., information about people, places, things, and activities; vocabulary; facts; ideas; concepts; methods; and procedures. We use the term “experience” to refer to recorded information regarding (a) what has happened in the past as a result of our own behavior, and (b) what we have observed or heard about happening to other people as a result of their behavior.

Values and interests: Values reflect the relative degrees of importance we attach to various matters (broad areas of life activity), to various aspects of interpersonal relations, and to various means of coping with our environment. Early in life, we learn basic values (right and wrong, good and bad, important and unimportant) through inputs, examples, and feedback from parents, teachers, other adults, and peers. Interests reflect our positive (and negative) attitudes regarding activities involved in the following general categories: mechanical; computational; scientific; persuasive; artistic; literary; musical; social service; clerical; and outdoor. Our basic, initial interests are influenced by environmental inputs and feedback from parents, teachers, other adults, and peers. Just like needs and drives, values and interests are neurological phenomena that have been categorized and given names. Memory regions of the brain contain patterns of brain cells that represent perceptions of activities involved in, for example, economic matters. “Interconnected” to these patterns are other patterns that represent our impressions of the emotional sensations we have experienced while engaging in these matters. Thus, the economic value (or any other value or any interest) is actually a complex set of neurological patterns. The emotional impressions associated with a particular area of activity may be (a) more positive than negative, because we have experienced more frequent and/or more intense positive emotions in connection with it; (b) more negative than positive, because we have experienced more frequent and/or more intense negative emotions in connection with it; or (c) equal and conflicting, because we have experienced equally frequent and intense positive and negative emotions in connection with it.

This same principle applies to goals and expectations.

Goals and expectations: Any early goals we might have are basically the results of inputs from adults in our environment. As we mature, our own formulation of goals is influenced by initial inputs, accumulated knowledge and experience, values, interests, existing expectations, and even personality traits. Goals may be written down and clarified, or they may simply be vague impressions in our minds. They can involve career objectives, financial matters, home/family matters, social relationships, health, spiritual fulfillment, and personal growth/development. Expectations revolve around goals and our perceptions of potential positive and negative feedback from the environment. Developing expectations involves (a) having some intended/expected outcome in mind; (b) recognizing obstacles and opportunities; (c) assessing capabilities for overcoming obstacles or taking advantage of opportunities; and (d)

weighing the probabilities of possible outcomes of alternative courses of action.

Personality traits are essentially learned (conditioned and/or developed) tendencies to behave in certain ways. Examples are: Self-Confidence; Dominance; Sociability; Social Conscientiousness; Responsibility; Adaptability; Original Thinking; Emotional Stability; Self-Control; and Vigor. To a great extent, such traits reflect influences of values, interests, knowledge, abilities, and other individual attributes. For example: High Self-Confidence reflects a positive self-image. A high level of Dominance reflects a positive self-image and a rather high level of the Political Value (need for power).

In our opinion, values and interests, while both cognitive and attitudinal in nature, are more attitudinal (emotional) than cognitive (rational). On the other hand, knowledge, experience, goals, and expectations are generally more cognitive than attitudinal. Goals and expectations, however, can be more attitudinal than cognitive, especially when they reflect very emotional and unrealistic “wishful thinking.” Also, emotion-charged experiences can be more attitudinal than cognitive.

While most of these individual characteristics are initially influenced by environmental forces and some hereditary factors, they constantly undergo changes brought about by interaction between an individual and his or her environment.

Figure 2 indicates the following general process: **[1]** Basic drives, psychological needs, and other motive factors —“activated” either internally or by external stimulation **[1x or 1y]**—push an individual to interact with the environment. **[2]** The individual formulates some behavioral response, which is influenced by his or her existing knowledge, experience, thinking skills, values, interests, goals, expectations, and personality tendencies. **[3]** The individual then behaves, using abilities and skills, personality tendencies, and physical characteristics (at whatever stages or levels of development they may be at the time). The response can be appropriate, goal-congruent, or functional **[3a]**, or it can be inappropriate or dysfunctional **[3b]**.

If the behavior pattern or ability used is appropriate, goal-congruent, sufficiently developed, or otherwise functional for accomplishing what was intended, if environmental obstructions are not present, and if need-fulfilling vehicles/instruments (such as job-related maintenance and motivator factors) are present and adequate, the person is

likely to be successful and to experience positive feedback [4a]. Positive feedback, in turn, generates physical and/or psychological pleasure in emotion centers [5a]. The resulting pleasure can then do several things [6a]: (a) it can reinforce the successful behavior pattern, thereby increasing the probability that it will be used again in a similar situation; (b) it can reinforce or increase the individual's self-image; (c) it can reinforce or increase the levels or valences of related values, interests, goals, or expectations; and/or (d) it can reinforce or increase expectancy that engaging in that area or activity in the future will elicit positive feedback (thereby also reinforcing or increasing the willingness to approach or get involved in that area or activity again).

On the other hand, if the behavior pattern or ability used is inappropriate, underdeveloped, unadjusted, or otherwise dysfunctional for accomplishing what was intended, if environmental obstructions are present, and if need-fulfilling vehicles/instruments (such as job-related maintenance and motivator factors) are absent or inadequate, the individual is likely to be unsuccessful and to experience negative feedback [4b]. Experiencing negative feedback generates physical and/or psychological pain in emotion centers [5b]. Pain, in turn, can induce several possible results [6b]: (a) it can signal a need for further learning or development; (b) it can decrease the individual's self-image; (c) it can trigger defense mechanisms for protecting one's self-image; and/or (d) it can decrease the levels or valences of related values, interests, goals, and expectations. In any case, negative feedback generates frustration (internal conflict) and creates a lower if not negative expectancy that engaging in the activity in the future will elicit satisfying feedback. By doing so, it also generates a greater tendency to avoid or withdraw from such activities or situations.

Now that we have discussed values, interests, goals, expectations, and processes affecting them, we can discuss ego and self-actualization needs.

Higher-Level Needs

Ego needs: In our opinion, ego needs are not basic, instinctive drives. We think that they are essentially *learned/developed cognitive-attitudinal impressions of ourselves and our relationships with people, things, and activities in the environment*. Maslow's two aspects of ego needs, self-esteem needs and reputation needs, revolve around self-image. In our view, self-esteem is more basic than reputation, but is directly related. The feedback we receive from

others, which tells us what our reputation is, can also either confirm or contradict how we see ourselves.

Our early self-images or identities tend to be influenced to a great extent by our parents and other adults. As we interact with our environment during childhood and teenage years, however, we develop several inputs for formulating our own personal identities. The major inputs are a vocabulary, a growing repertoire of knowledge and experience, and the ability for class (deductive) logic. These inputs enable us to do the following: (a) describe ourselves and others in terms of (words for) various human characteristics (how big, what color, how smart, how honest, how masculine or feminine, how financially successful, how powerful, how well liked, etc.); (b) compare and contrast ourselves with others in relative terms; (c) distinguish similarities and differences between ourselves and others; and (d) form our own personal identities or self-images, which we then begin trying to protect and enhance.

While values, interests, goals, and expectations deal mostly with cognitive-attitudinal impressions of life matters and activities, ego needs deal with self-awareness and cognitive-attitudinal impressions of one's SELF. They reflect needs to maximize positive feedback and to minimize negative feedback regarding one's ability to interact successfully with the environment. Positive feedback reinforces impressions of one's SELF as being "OK," knowledgeable, competent, creative, and self-sufficient, as having self-worth, as being able to control or influence the environment, as being able to achieve, and as being able to obtain respect, approval, admiration, recognition, and status from others. Negative feedback indicates that certain flattering impressions of SELF may not be accurate.

Values, interests, goals, and expectations are directly related to ego needs. In our view, an individual's highest values, highest interests, highest priority goals, and most positive expectations regarding successfulness of behavior in these areas or activities are the main factors around which his or her ego needs revolve. For example: If economic matters are most important (most highly valued), then one's self-image, identity, or self-esteem is most likely to be involved (or "revolve around") economic (financial or material) success. Similarly, if one has a high interest in a certain activity, one will prefer positive, self-image-reinforcing positive feedback to negative, self-image-threatening feedback from engaging in that activity.

In **Figure 2**, ego needs (self-esteem and reputation) are central. We have depicted them as the center of a merry-go-

round or whirlpool, around which are revolving highly related motive factors. We tend to approach or involve ourselves in those matters, interest areas, and goals that are high because we have come to expect positive, self-image-reinforcing feedback through them. We avoid those matters, interest areas, or possible goals that are relatively lower because we have come to expect negative, self-image-threatening feedback through them.

We see ego needs and the other motive factors as being on separate sides of the same coin. In our view, the organized patterns of memory nerve cells that represent impressions of areas of life activity and associated emotions, while “interconnected” to each other, are also “interconnected” with patterns representing impressions of SELF and associated emotions. Consequently, whatever feedback we receive from behavior in a given area affects self-image-related (ego-related) impressions as well as value-, interest-, and goal-related impressions.

Progression from lower-level drives/needs to the ego needs level is a function of several factors. Probably the most important is the development of a personal identity or self-image. It is also a matter of relatively regular and adequate fulfillment of lower-level drives and needs. This means experiencing an absence of environmental obstructions in physiological, safety, and social areas. On the job, it means the availability and adequacy of both maintenance and motivator factors on the job (but especially maintenance factors). In addition, it is a matter of using adjusted, functional capabilities and behavior patterns in one’s environment—and obtaining positive feedback (satisfaction/pleasure) as a result.

What has been happening recently to women is one of the best examples of intensification of ego needs. Traditionally, the average woman’s self-image has revolved around who her husband is and what he does. Her identity has largely been his. Her status level has largely been his. Now, however, traditional obstacles are fading. Women are receiving a higher education, are expanding their horizons, are being exposed to more areas of life activity, are developing their own identities, are becoming more self-sufficient, are being placed in the more ego-fulfilling jobs that men have customarily held, and are increasing their expectations.

Whereas lower-level drives and associated needs can be rather quickly, easily, and regularly satisfied (assuming food, water, people, and safety are available), ego needs cannot. Say, for example, that one attains a degree of power

or economic success. There is a tendency to want more power or more economic success. Thus, ego-related needs are virtually insatiable. Even if economic motives, for example, are satisfied, one may use wealth to attain power or influence. If power needs or motives are satisfied, one can turn to other ego-fulfilling vehicles or areas. In other words, as Erhard²⁸ pointed out, when we receive positive feedback in a certain area, we want “more” (quantity). When “more” becomes routine, non-stimulating, unchallenging, or boring, we want “better” (quality). When “better” becomes non-stimulating or unchallenging, we want something “different” (variety). We have depicted these phenomena as the merry-go-round revolving around ego needs. Relatively few people seem able to get off of this merry-go-round and become “self-actualizing.”

Although we do not call ego needs “drives,” they are nonetheless powerful motive factors having the force of drives. In fact, there are many examples of people foregoing the fulfillment of lower-level needs while in pursuit of ego fulfillment.

Self-actualization needs: The needs to develop our potentials to the fullest and to become what we have the potential to become are relatively easy to describe. On the other hand, they are rather difficult to explain. They could be either (a) a separate set of psychological needs above the ego needs level, or (b) another subclassification of ego needs (along with self-esteem and reputation needs). In the latter case, it may be that developing our potentials and becoming what we have the potential to become are “means” or “personally-applied vehicles/instruments” for attaining an ultimate ego fulfillment. As we pointed out earlier, generating successful behavior and obtaining positive feedback in various areas is partly a function of the level of development of functional, appropriate behavior patterns. Developing ourselves to the fullest, therefore, would enable us to be more successful and obtain more ego-enhancing positive feedback. At present, we lean toward this second explanation.

Whichever the case may be, we think that an individual “progresses upward” to the level of “self-actualization needs” because of (a) relatively adequate and regular fulfillment of ego needs [e.g., through adequate motivator (and maintenance) factors on the job]; and (b) certain highly cognitive insights into SELF, one’s relationships with the environment, and life itself.

In general, the cognitive insights seem to be a function of maturity, accumulated knowledge and experience, and wisdom:

- a. that seeking “more,” “better,” and “different” in order to be happy is a merry-go-round—an endless chase;
- b. that the quality, worth, and meaningfulness of life do not depend on traditional signs of success such as money and power, and that that one may have to turn elsewhere for ultimate fulfillment;
- c. that becoming what one has the potential to become, doing what one has the potential to do best, and living up to one’s high standards and expectations are more meaningful and ultimately gratifying than being, doing, and otherwise conforming to what others expect;
- d. that the inner tensions created by having to protect and enhance one’s ego are not worth having to deal with constantly;
- e. that one is OK, that others are OK, and that one need not compare oneself with others and put others down in order to feel OK;
- f. that one is OK but not perfect, and that one has underdeveloped potentials that can be further developed and utilized;
- g. that competing with oneself, becoming the best one can become, and doing the best one can do brings about less anxiety and more fulfillment than competing with (and often doing harm to) others;
- h. that trying to fulfill the dreams and fantasies of youth may not be realistic and/or desirable in order to be happy and content; or
- i. some combination of the above.

People who have held well-paying, high status jobs, but who have foresaken the organizational “ratrace” for more fulfilling work, are good examples of those who may have progressed from the ego needs level to the self-actualization level.

Regression from higher-level needs—particularly ego needs—to lower-level needs can be due to many things. Fires, floods, serious illnesses, wars, and crime waves, for example, can “pull people down” to the physiological and safety needs levels. Experiencing negative feedback (due to environmental obstructions, dysfunctional behavior, and/ or the absence or inadequacy of need-fulfilling vehicles or instruments) can also cause regression to low-level needs.

Negative feedback generates physical and/or emotional pain, which, in turn, can do several things. In those who are at the self-actualization level, it signals a need to improve or further develop abilities and other behavior patterns. In those operating at the ego needs level, however, it tends to trigger one or more of the following ego defense behaviors:

Compensation — engaging in alternative activities, wherein one has better capabilities for bringing about positive feedback.

Sublimation — unconsciously blocking psychological pain from conscious awareness.

Repression — consciously pushing negative emotions out of one’s mind.

Identification — identifying/associating with those who are more successful, admired, respected, or liked than oneself.

Projection — attributing blame to others.

Aggression — taking out one’s anxieties, resentment, anger, and hostility on other people (or on objects).

Rationalization — justifying one’s shortcomings or mistakes with “reasons” that are more compatible with one’s self-image.

Regression — reverting to more rewarding situations, circumstances, or behavior patterns (as perhaps during childhood).

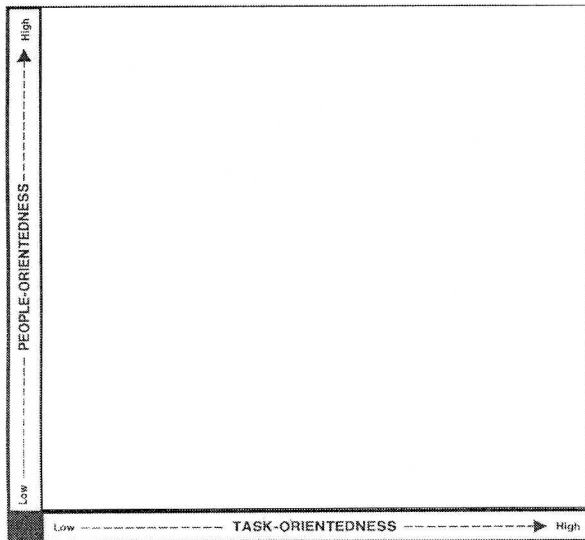
Fantasy — substituting daydreams or fantasies for reality.

We can observe regressive behavior, for example, in those who are motivated to become leaders of their organizations or social groups, but are not made the leaders by others in the organization or group. They tend to regress to the social needs level, becoming content simply to be a member or follower. Another example can be found in those females who aspire to more ego-enhancing jobs, but are blocked from holding them. They can tend to regress to the social needs level and to affiliate (socialize) frequently with their peers on the job.

Early Managerial Style Theorists

Motivation and behavior research conducted during the 1930s, 1940s, and 1950s drew considerable attention to the human side of productivity in organizations. It also highlighted the fact that managerial and supervisory behavior affect people’s productivity and satisfaction on the job. As a result, during the late 1950s and early-to-middle 1960s,

Figure 3: Grid Reference for Managerial and Leadership Styles



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several notable experts studied managerial behavior and developed theories concerning managerial styles.

To put the various styles we will be discussing into perspective, we must first establish a frame of reference for this purpose. Figure 3 is a variation on a well-known “grid concept” that we will describe shortly. The figure has two axes. The horizontal axis indicates a managers’ level of *task-orientedness*, which ranges from “low” to “high.” The vertical axis indicates a manager’s level of *people-orientedness*, which also ranges from “low” to “high.” Grid concepts suggest that *a manager’s style is largely a function of his or her combination of levels of task-orientedness and people-orientedness (or two similar parameters).*

McGregor’s “Theory X” and “Theory Y”

Douglas McGregor, a professor at M.I.T.’s School of Industrial Management before his death, first published his managerial style theories in 1957.²⁹ He believed that managers were influenced to behave in one manner or another by their views regarding their subordinates.

The Theory X (Authoritarian) Style

The *Theory X views*, to paraphrase McGregor, are that people in general (average persons) are lazy, unambitious,

unreliable, resistant to change, and not particularly bright; that they dislike work, shun responsibility, and prefer to be led; that they are motivated mostly by economic gain, threats, rewards, and punishments; and that, therefore, they cannot be trusted to perform well without frequent stimulation and constant supervision.

Theory X views about what motivates people, translated into Maslow’s terms, are that they are primarily motivated by external stimulation of their physiological, safety, social, and ego needs. (As a matter of fact, McGregor specifically mentioned Maslow’s Hierarchy of Needs.) The same views, translated into Herzberg’s terms, are that people are primarily motivated by positive and/or negative use of maintenance factors—especially pay, job security, working conditions, and privileges.

McGregor maintained that managers who believe that their primary function is to achieve organizational objectives by obtaining the best possible performance, and who view their subordinates in a Theory X manner, are inclined to use a directive and controlling, impersonal style—the Theory X Style.

Often called the authoritarian, traditional, or mechanistic style, the Theory X style involves these basic practices:

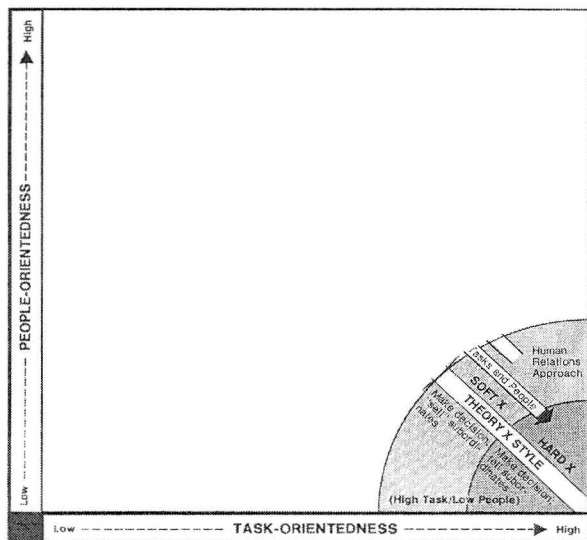
- a. personally setting goals and performance standards, formulating plans, and making all decisions;
- b. telling decisions to subordinates and giving them instructions or orders; and then
- c. closely monitoring and tightly controlling subordinates’ subsequent activities.

These and more specific practices and associated interpersonal behavior patterns are listed in **Table 3** (page 30). They were born thousands of years ago in kingdoms and military environments. Since then, they have been perpetuated in military, industrial, institutional, and many other environments.

We can also say the following about those who primarily use the authoritarian style:

- A. They can be described in these terms: commanders, dominators, controllers, drivers, utilitarians, results seekers, competitors, attackers, blamers, takers; superior, aggressive, self-centered, hostile.
- B. They tend to “run” (rather than manage) only what they can see: equipment, people’s use of equipment, people’s observable activity, and tangible, easily

Figure 4: Position of the Theory X or Authoritarian Style



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measured results. They do not attempt to manage what they cannot see: what is going on inside people that affects their motivation, attitudes, interactions, and observable performance.

- C. They are most concerned about the task-related or “mechanical” aspects of operations, and therefore tend to integrate tasks with tasks. They pay little attention to integrating people with their tasks and integrating people with people.
- D. When analyzing situations and making decisions, they tend only to consider task-related factors (such as equipment utilized, job procedures, and task interfaces) and organizational factors (such as what the boss will think of the decision). They fail to consider people-related factors (such as individuals’ needs and feelings) and social factors (such as the impact of group norms and peer pressures on subordinates’ performance).
- E. Their management approach is boss-centered (not subordinate- or team-centered). Since the manager does all the (creative) thinking, decision-making, and telling, subordinates’ jobs cannot really be “their own babies.”

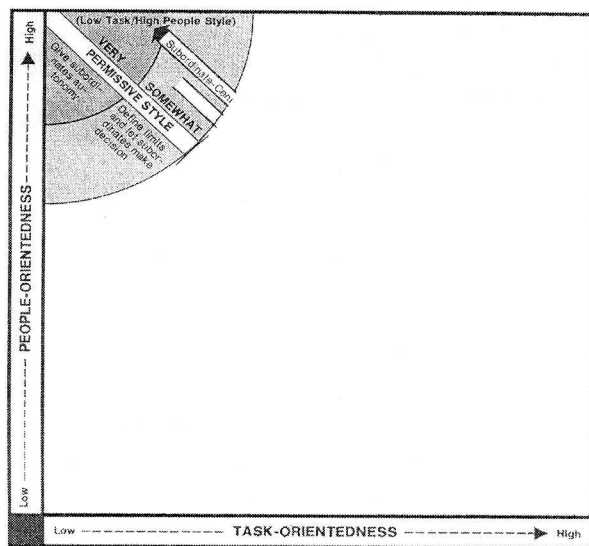
- F. These managers tend to distort the Golden Rule. They “do to subordinates” (tightly direct and control subordinates), so that subordinates will not “do to them” (embarrass them or make them look bad).
- G. These managers are most likely to be found in hierarchical organizations and/or organizations having predominantly physical or manual tasks and traditionally masculine jobs and attitudes (as in the military or heavy industry).

Authoritarian practices and interpersonal behavior patterns reflect a high level of task-orientedness (concern for and attention to subordinates’ productivity or performance), but a low level of people-orientedness (concern for and attention to subordinates’ needs and feelings). Indeed, they constitute a general tendency to emphasize task-related results at the expense of people-related results (such as subordinates’ development and fulfillment). Therefore, as shown in **Figure 4**, McGregor’s Theory X style would appear at the lower right corner of the grid framework—the “High Task, Low People” (HT, LP) corner.

While the Theory X style is capable of maximizing productivity or performance in the short term, it tends to create difficulties over the long term. This is largely because the manager or leader tends to be insensitive and impersonal and tends to use negative psychological stimulation almost exclusively. (Thus, Theory X managers and leaders are often called “whip-crack-ers,” “hardnoses,” and “disciplinarians.”) It is also because the manager or leader makes all the decisions, issues orders or instructions, and, in effect, is constantly saying to subordinates in an implicit if not explicit manner, “I’m OK, but you’re not as OK as I am.” “I know what needs to be done and how and when to do it, but you don’t. So I’ll do all the thinking, tell you what to do, and then make sure that you do it.” This unflattering, even insulting message comes through to subordinates—usually very loudly and clearly. Subordinates feel powerless over their work lives and job environments. The results, as many managers and leaders have found, are negative attitudes such as dissatisfaction, resentment, and antagonism. Such attitudes undermine morale and cooperation and often lead to adversarial relationships and to subtle sabotage of operations. These short- to intermediate-term results reduce operational efficiency and effectiveness over the long term.

Incidentally, the non-people-oriented, Theory X style has been largely responsible for the organization of workers into labor unions. As one observer put it: “People don’t

Figure 5: Position of the Permissive Style



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unionize simply to get higher wages. They also do it so that they can get even with the people who crack the whip on them.”

McGregor recognized that the negative effects of the authoritarian or “hard” style had prompted many leaders and managers to experiment with a “soft” style.

The Permissive Style

The soft style, which has also become known as the permissive, laissez faire, (“let them do as they please”), or country club style, is directly opposite the Theory X style in most respects. It is characterized by the following basic practices and interpersonal behavior patterns (as indicated by **Table 3** in greater detail):

- a. high emphasis on subordinates’ needs and feelings;
- b. very little concern for and attention to task-related results;
- c. very non-directive, non-controlling integrative practices; and
- d. very congenial interpersonal behavior.

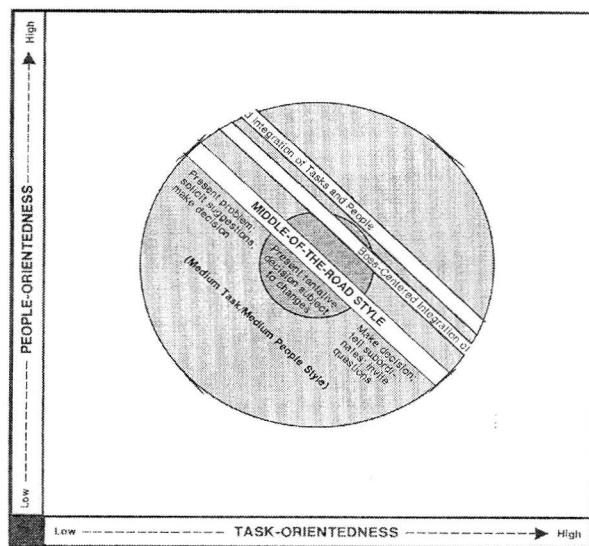
We can also say the following about those who primarily use the permissive style:

- A. They can be described in these terms: givers, supporters, pleasers, country-clubbers, accommodators, suppressors, yielders; warm, submissive, amiable, responsive, insecure, dependent, affiliative, associative, benevolent, protective.
- B. They tend to “run” (rather than manage) feelings and social relationships.
- C. They tend to integrate people with people. They pay little attention to integrating tasks with tasks or integrating people with their tasks.
- D. When analyzing situations and making decisions, they tend only to consider people-related factors (such as people’s needs and feelings) and social factors (such as modes of social behavior, interpersonal conflicts, and group expectations). They fail to consider the task-related factors and organizational factors that also influence people’s motivation, attitudes, interactions, and performance.
- E. Their management approach is subordinate-centered (rather than either boss- or team-centered). Since they let subordinates make their own decisions about job goals, performance standards, and working procedures, those jobs are almost entirely subordinates’ “babies” (rather than the boss’s or organization’s).
- F. Like an insecure child, they see their subordinates as OK, but wonder if they themselves are OK. They therefore treat subordinates well so that subordinates will regard them as OK. Thus, in terms of the Golden Rule, these managers “do to subordinates” (treat them well) so that subordinates will like them and treat them well in return.
- G. These managers can be found in research areas where personnel’s educational levels are high and there is an atmosphere of mutual respect. They can also be found in work settings where associative, affiliative behavior is highly valued by superiors, subordinates, and co-workers alike.

As shown in **Figure 5**, this style is located in the upper left-hand corner of our grid framework—the “Low Task, High People” (LT,HP) position.

Those who primarily use this style tend to assume that if everyone is buddy-buddy, social relationships are emphasized, everyone is comfortable and contented, and subordi-

Figure 6: Position of the Mid-Road or Consultive Style



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nates are allowed to perform more or less to their own expectations and in their own way, then they—the “contented cows”—will be motivated to produce better. Many managers have found, however, that a “soft style” does not maximize subordinates’ productivity or real on-the-job satisfaction. What tends to happen is that, as people are given more and more, they expect more and more and give back less and less to their bosses and organizations.

McGregor recognized these phenomena. He acknowledged that the undesirable results of both “polar styles” had prompted many managers and leaders to try a more middle-of-the-road style.

The Middle-Road (Consultive) Style

This style has also become known as the consultive or firm-but-fair style. As shown in **Figure 6**, it is a “Medium Task, Medium People” (MT,MP) style that lies between the Theory X and Permissive styles. It is characterized by the following basic practices and interpersonal behavior patterns (as shown in **Table 3** in greater detail):

- a. equal medium emphasis on both task-related and people-related results;
- b. a medium degree of direction and control; and
- c. fairly congenial interpersonal behavior.

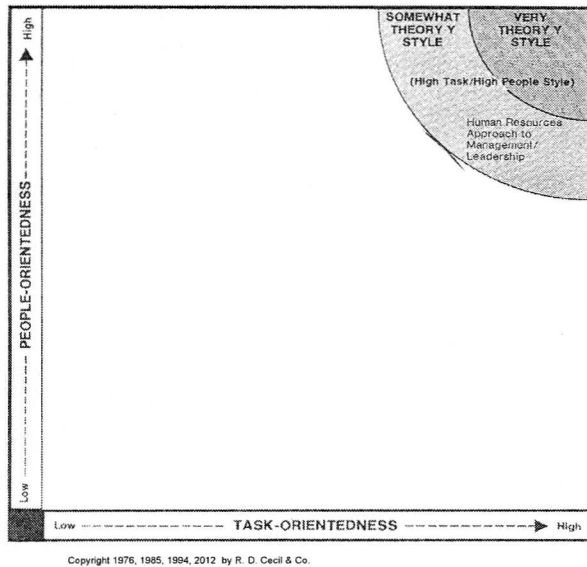
We can also say the following about those who primarily use this style:

- A. They are trying to strike a balance or compromise that is neither too “hard” nor too “soft.”
- B. They can be described in these terms: compromisers, balancers, workaholics, performers; consultive, changeable.
- C. They tend to manage (rather than simply “run”) their operations. They pay more attention to managing what they can see, but are also fairly sensitive to the needs, feelings, and attitudes that they cannot see.
- D. They are more oriented to “integrating tasks with tasks,” but do more than authoritarian managers to integrate tasks with people and integrate people with people.
- E. When analyzing situations and making decisions, they will give the most consideration to task-related factors and organizational factors, but will also give some consideration to individual and social factors.
- F. Their management or leadership approach is somewhat boss-centered and somewhat subordinate-centered. They make the final decisions, but will consult subordinates before doing so.
- G. They tend to see both themselves and their subordinates as pretty much OK, but may see themselves as slightly more OK than their subordinates (I’m OK, you’re alright). In terms of the Golden Rule, therefore, they tend to do OK by everyone—in a compromising, give-and-take manner.
- H. These managers and leaders can be found in almost any type of organization.

McGregor, who was influenced by Maslow, recognized that Theory X views about people may have been somewhat valid years ago, but are not valid today.

For many centuries before modern times, the lifestyles and ambitions of most (average) people were limited by many social, economic, and political barriers. These barriers kept them poor, uneducated, and relatively unskilled. Organizations placed them in low-skill, routine, uninteresting jobs. Their wages, status, job security, and working conditions (among other maintenance factors) were grossly inadequate and contributed little to the fulfillment of their

Figure 7: Position of the Theory Y or Participative/Team Style



basic needs and drives. In fact, meager wages significantly limited their ability to satisfy both lower- and higher-level needs. There were few opportunities for advancement and even fewer opportunities for achievement, personal growth, and the development of more complex skills. The virtual nonexistence of these motivator factors probably made relatively little difference to them, however, since they were not exposed to more satisfying working environments.

Because most people were neither satisfied nor motivated by their work and job environment, getting more effort from them did require external stimulation. Because of their limited capabilities and inadequate training, getting them to do their work properly did require close supervision. Because money was the only available means for satisfying their own and their families' needs and for easing their dissatisfaction with an unfulfilling job, it was very important to them. Thus, to anyone who made the simplistic assumption that people's behavior is entirely the result of their natures, Theory X impressions about most people would have seemed quite valid.

Making that very assumption, leaders and managers of military, industrial, commercial, and even religious organizations did view their personnel in a Theory X manner. They failed to recognize that various forces outside their organizations and their own inadequate use of both maintenance and motivator factors were largely responsible for

personnel's natures and work behavior. Under these and other circumstances, greatly simplified here, Theory X views and the Theory X style became conventional and lingered well into the twentieth century. Only within the last thirty years or so did managers begin experimenting with the permissive and middle-of-the-road styles mentioned above.

In the meantime, technological, economic, social, and political forces have been at work bringing about many changes in people. Today in our society, the average person (a) has a relatively high standard of living, (b) has better working conditions, (c) has better wages or a better salary, (d) is better educated and trained, (e) is working at a more technologically complex job, and (f) is faced with wider horizons and more opportunities. We have learned that people's capabilities and potentials can be further developed. We have also learned that people's inner motivation can be unlocked in various ways. These and many related changes are both forcing and enabling us to recognize that Theory Y views about people's natures are much more valid than Theory X views.

The Theory Y (Participative) Style

Theory Y views, to paraphrase McGregor, are that people are not by nature lazy, unambitious, unreliable, thick-headed, resistant to change, and unconcerned about their organizations' objectives; that they can be (more) self-directing, self-coordinating, and self-controlling—and want to be; that they have untapped capacities for assuming greater responsibility and performing more challenging tasks—and want to develop and use these capacities; that their potentials can be developed and released; that they are motivated by opportunities to develop and use their potentials, to achieve their own goals, and to fulfill their own needs; and that they are worthy of a manager's or leader's attention, respect, and confidence.

Theory Y views about what motivates people, translated into Maslow's terms, are that they are motivated by opportunities to satisfy higher-level needs (especially ego needs) through their jobs. The same impressions, translated into Herzberg's terms, are that personnel are primarily motivated (internally) by interesting jobs that provide opportunities for achievement, recognition, responsibility, advancement, and personal growth. [See **Table 2** on page 26 for a comparison of Theory X and Theory Y views in Maslow's and Herzberg's terms.]

McGregor maintained that managers who believe their function is to obtain high performance and achieve organi-

zational objectives both through and with people, and who view their subordinates in a Theory Y manner, are inclined to use the Theory Y Style. This style, more recently called the participative, developmental, organic, democratic, team, or team-building style, is considered by many to be the ideal style.

Note that the integrative practices and interpersonal behavior in the following description, the description in **Table 3** (page 30), and the very detailed description in the Appendix to this booklet all reflect high levels of task- and people-orientedness. Thus, as shown in **Figure 7**, this style's position is at the "High Task, High People" (HT, HP) corner of a grid framework.

These are some of the basic managerial practices and interpersonal behavior patterns involved:

- a. giving subordinates opportunities to participate in goal-setting, planning, decision-making, and problem-solving processes involving their jobs and working relationships;
- b. encouraging and enabling subordinates to be more self-directing, self-coordinating, and self-controlling;
- c. giving subordinates opportunities to recognize, develop, and use their technical, integrative, and interpersonal potentials;
- d. guiding subordinates' participation in integrative functions, their job-related development, and their greater self-direction, self-coordination, and self-control; and
- e. emphasizing two-way communications and being open, honest, supportive, and sincere when communicating.

We can also say the following about those who primarily use this style:

- A. They can be described in these terms: thinkers, integrators, achievers, collaborators, communicators, influencers, developers, positive strokers, teambuilders, confronters; self-assured, optimistic, realistic, assertive, responsive, supportive, expressive, warm, adaptive, mature, synergistic.
- B. They tend to manage (integrate) both what they can see (activities and interactions) and what they cannot see (the needs, feelings, attitudes, and mental processes that underlie behavior and performance).
- C. They tend to *integrate tasks with tasks, people with*

their tasks, people with people, and people with the organization.

- D. When analyzing situations and making decisions, they consider all types of factors that influence attitudes, interactions, and performance: task-related, individual, organizational, social, and outside forces/factors.
- E. Their approach to management is team-centered and boss-guided (rather than either boss-centered or subordinate-centered). By encouraging and enabling subordinates to participate in integrative functions affecting them and their jobs, they help to make subordinates' jobs "their own babies."
- F. These managers have an adult attitude regarding themselves and their personnel: "I'm Ok and you're OK, but we can all improve and further develop with help from each other." Following the Golden Rule, these managers "do unto subordinates as they themselves would have their own bosses do unto them." Some may follow the "Platinum Rule" by "doing unto subordinates as subordinates would have done unto them."
- G. This type of manager or leader is most likely to be found in organizations that must respond to frequent and unpredictable changes in the technological or market environment and are not steeped in traditional (authoritarian) managerial or leadership attitudes and practices.

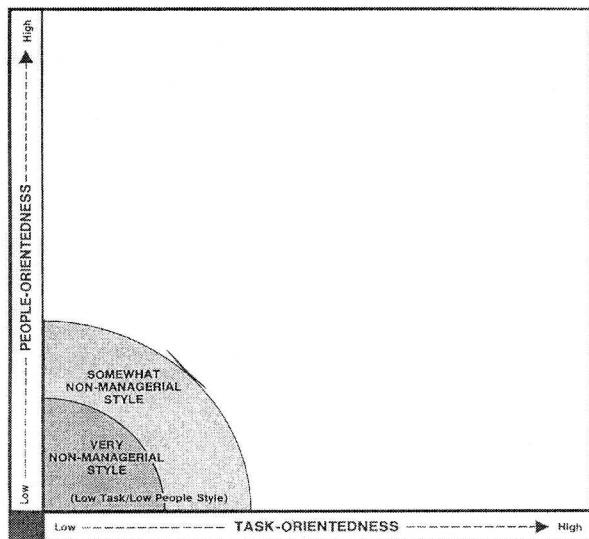
To a great extent, "High Task, High People" (participative/developmental) practices and behavior patterns are focused on creating and maintaining an atmosphere in which subordinates can reach their own goals and fulfill their own needs best by channeling their efforts toward objectives that they have participated in formulating. Equally as important, these practices incorporate Herzberg's motivator factors into subordinates' jobs both through and with their participation.

Although Theory Y managers behave in a highly people-oriented manner, they are not soft or permissive and do not emphasize subordinates' satisfaction at the expense of their performance or productivity. Instead, *they place equally high emphasis on subordinates' performance, development, and satisfaction.*

Table 2: Summary of Relationships Between McGregor's, Maslow's, and Herzberg's Frames of Reference

McGregor's THEORY X	McGregor's THEORY Y
Managerial views about the natures of subordinates. . . in <u>McGregor's terms</u>	
<p>Are lazy, unambitious, unreliable, resistant to change, and not too bright; dislike work, shun responsibility, and prefer to be led; are self-centered and care little about organizational objectives; are motivated by economic gain, persuasion, threats, rewards, and punishments; cannot be trusted to perform well without close supervision and frequent motivational stimulation.</p>	<p>Are not by nature lazy, unambitious, unreliable, resistant to change, thick-headed, and unconcerned about organizational objectives; can be self-directing and self-controlling -- and want to be; have untapped capacities for assuming greater responsibility and performing more challenging activities-- and want to develop and use their potentials (which can be developed and released); are motivated by opportunities to develop and use their potentials, to achieve their own goals, and to fulfill their own needs; and are worthy of managerial attention, respect, and confidence.</p>
Managerial views about what motivates subordinates . . . in terms of <u>Maslow's Hierarchy of Needs</u>	
<p>Are primarily motivated by <i>external stimulation</i> of physiological, safety, social, and ego needs.</p>	<p>Are primarily motivated by opportunities to satisfy higher-level needs (especially ego needs) through their jobs.</p>
Managerial views about what motivates subordinates . . . in terms of <u>Herzberg's Maintenance and Motivator Factors</u>	
<p>Are primarily motivated by positive and/or negative use of Maintenance Factors such as pay, benefits, privileges, job security, and working conditions.</p>	<p>Are primarily motivated by interesting jobs that offer opportunities for achievement, recognition, responsibility, advancement, and personal growth and development (all Motivator Factors).</p>
<u>Resulting Managerial Styles (Practices and Behavior)</u>	
<p>THEORY X STYLE (Directive and Controlling, Authoritarian, Traditional, or Mechanistic Style)</p>	<p>THEORY Y STYLE (Participative, Developmental, Democratic, Organic, or Team-Building Style)</p>
<p>Emphasis on maximizing subordinates' productivity through direction and control (at the expense of their personal fulfillment and development).</p> <p>Positive and/or negative use of Maintenance Factors as motivational stimulators.</p>	<p>Equally high emphasis on subordinates' performance, satisfaction, and development. High performance and satisfaction are achieved through the use of participative, developmental practices.</p> <p>Adequate, positive application of Maintenance Factors and effective incorporation of Motivator Factors into jobs (which together contribute to the maximization of subordinates' satisfaction, motivation, and performance).</p>

Figure 8: Position of the Non-Managerial Style



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The Non-Managerial Style

One additional grid-related style was not mentioned by McGregor. It is called the non-managerial style or “impoverished management.” As shown in *Figure 8*, it occupies the “Low Task, Low People” (LT,LP) position on the grid framework.

Non-managers do little if any managing or leading. Instead, they . . .

- a. avoid managerial responsibilities;
- b. let superiors and subordinates make decisions; and
- c. do little if anything about subordinates’ performance or satisfaction.

We can also say the following about non-managers:

- A. They can be described in these terms: isolationists, avoiders; apathetic; indecisive, evasive; pessimistic; compliant, submissive.
- B. They probably became non-managers because of one or more of the following circumstances: (1) they have been given insignificant, frustrating, or otherwise dissatisfying jobs and are simply waiting them out; (2) they have been passed over for promotion several times and have given up trying to do a good

job; (3) their efforts have been thwarted by dominant superiors, causing them to adopt a “what’s the use” attitude; and/or (4) they are nearing retirement and do not want to rock the boat.

- C. They are most interested in their own comfort, security, and freedom from tensions and anxieties. They seldom get involved in organizational activities and usually are unaware of what is going on. They will do what they are told, but otherwise tend to wander aimlessly from one nonwork-related activity to another. Basically, they just let themselves be swept along by organizational inertia—unless they must protect the comfortable atmosphere they have created and try to maintain for themselves.
- D. Non-managers survive in two types of organizations: (1) bureaucratic organizations, wherein people can go unnoticed; and (2) permissive organizations, wherein poor performers are often tolerated.

Figure 9 (page 28) shows the grid positions of the five distinctive, grid-related styles discussed above. **Figure 10** (page 29) shows how each type of manager or leader interacts with subordinates in the process of performing major integrative functions. **Exhibit 2**, which follows **Table 3**, indicates the contents of communications associated with each of four managerial styles.

Tannenbaum and Schmidt’s Model

In 1958, Robert Tannenbaum and Warren Schmidt, both of U.C.L.A.’s School of Business Administration, published their concept of a “Continuum of Leadership Behavior.”³¹ Their continuum of possible styles included:

1. Manager makes decision and announces it.
2. Manager makes decision and “sells” it.
3. Manager presents ideas, invites questions, and then makes decision and announces it.
4. Manager presents tentative decision subject to change.
5. Manager presents problem, gets suggestions, and then makes decision and announces it.
6. Manager defines limits and asks a group of subordinates to make the decision.
7. Manager allows subordinates to function within limits defined by superior(s).

Figure 9: Conceptual Comparison of Five Distinctive Managerial and Leadership Styles

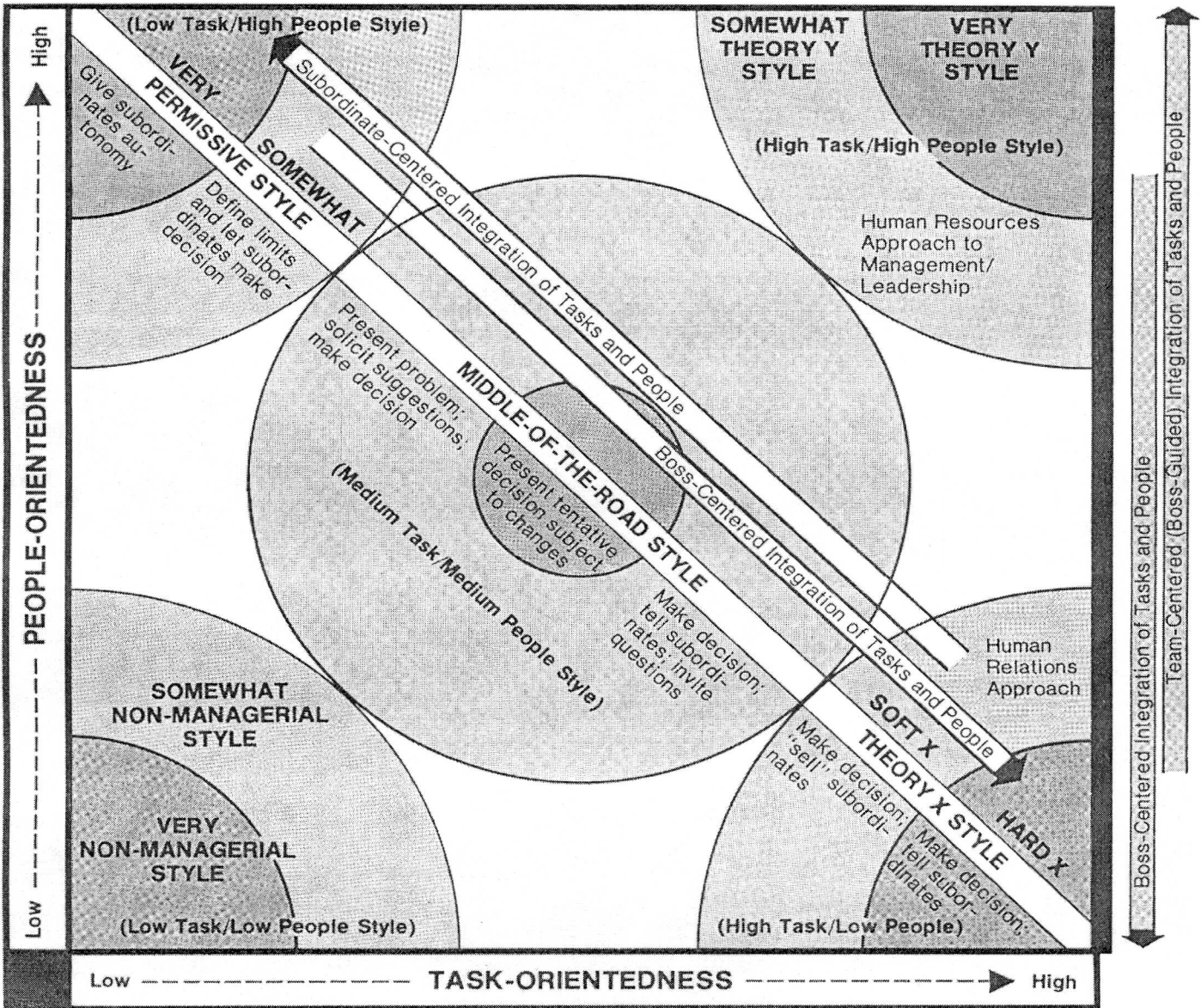


Figure 10: Comparison of Five Distinctive Styles in terms of Performance of Integrative Functions

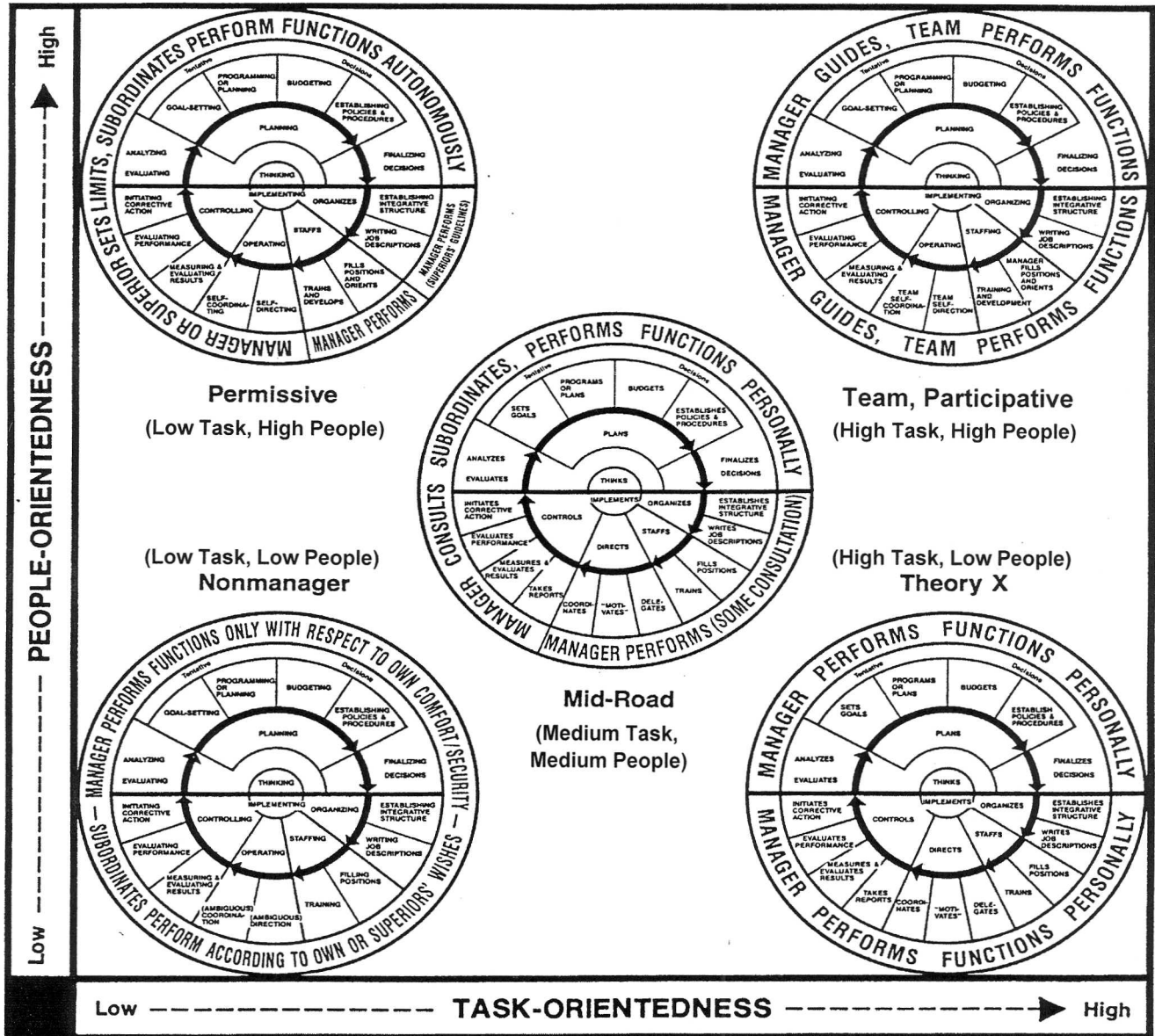


Table 3: Comparative Descriptions of Five Distinctive Managerial and Leadership Styles

Authoritarian (Theory X) Style	High Task, High People Style
High Task Orientation Low People Orientation	High Task Orientation High People Orientation
Trying to maximize subordinates' performance or productivity, but doing little if anything about their on-the-job satisfaction.	Trying to maximize subordinates' performance and satisfaction (through the use of participative, developmental practices that foster a team atmosphere, enable subordinates to contribute their full potential, enable the team to work together efficiently and effectively, and enable subordinates to fulfill their own needs and goals as they strive to achieve organizational objectives.
Personally performing goal-setting, planning, problem-solving, and decision-making activities of any importance to the unit.	Encouraging and guiding subordinates' participation in important (rather than trivial) goal-setting, planning, problem-solving, and decision-making processes.
Very clearly defining and prescribing subordinates' responsibilities, authority, and working procedures.	Encouraging and guiding subordinates' participation in defining their responsibilities, formulating and improving their working procedures, and formulating challenging personal performance and development goals.
Prescribing high performance standards (goals) for subordinates.	
Personally directing (and coordinating) subordinates' efforts and tightly controlling their activities (closely monitoring their activities, requiring regular status reports from them, regularly evaluating their results, and personally initiating corrective action) in order to prevent subordinates from taking risks and making mistakes.	Encouraging and guiding subordinates' exercise of a significant degree of self-direction and self-control, and encouraging subordinates to venture in new directions and to take the initiative in developing and acting on innovative ideas.
Communicating mostly decisions and instructions to subordinates.	Communicating mostly advice and information to subordinates.
Relying heavily on position-based power or authority in order to maintain discipline, exercise control, and get things done.	Earning and employing expertise-based personal influence and setting a good example in order to enhance the effectiveness of one's encouragement and guidance of subordinates.
Employing persuasion, threats, rewards, and punishments to "motivate" (drive) subordinates.	Intensifying and releasing subordinates' inner motivation by providing adequate hygiene factors and by incorporating motivator factors into their jobs (both with and through their participation).
Requiring information from subordinates, but neither soliciting nor trying to find merit in their ideas, suggestions, or opinions.	Encouraging subordinates' open and honest upward communication of ideas, suggestions, feelings, and opinions, and looking for merit in them even if there is personal disagreement.
Providing subordinates with technical, functional, or professional training only, and doing nothing to develop their managerial (integrative) and interpersonal potentials.	Encouraging and guiding development of subordinates' technical, functional, or professional capabilities, integrative skills, interpersonal attitudes and skills, and communicative skills.
Behaving insensitively toward subordinates, interacting impersonally with them, and being aloof and difficult to approach.	Showing interest in, sensitivity to, respect for, and trust in subordinates, and being easy to approach even when under pressure.
Smothering or denying interpersonal conflicts with discipline and tight control.	Encouraging and guiding subordinates' confrontation and resolution of their interpersonal conflicts.
Not accepting subordinates' mistakes (especially when they have caused personal embarrassment), and concentrating on determining who caused a problem and reprimanding them rather than on helping them remedy the situation and prevent it from occurring again.	Accepting subordinates' mistakes -- especially when they show they have learned from them-- and helping subordinates remedy situations and prevent them from occurring again.
Giving subordinates some information about what is going on in the organization, but not telling them all that <i>they</i> might want or think they need to now.	Keeping subordinates fully informed of what is happening in the organization -- whether good or bad -- and telling them whatever they want or think they need to now.
Expecting good performance from subordinates, but saying little about their performance unless something goes wrong.	Readily praising and/or giving credit to subordinates for having performed a challenging task well. Constructively giving corrective feedback when problems occur.

Permissive Style Low Task Orientation High People Orientation	Middle Road / Consultive Style Low Task Orientation High People Orientation
Trying to maximize subordinates' contentment and morale by fostering a comfortable, congenial work atmosphere, but doing little if anything about their performance.	Trying to achieve a balance or compromise between subordinates' performance and satisfaction.
Making few clear-cut decisions personally and letting subordinates handle most	Personally performing goal-setting, planning, problem-solving, and decision-making functions of major importance, but leaving routine integrative functions to subordinates.
Trusting subordinates to recognize or determine their responsibilities, authority, and working procedures.	Outlining job descriptions for subordinates that emphasize technical, functional, or professional responsibilities.
Fostering a comfortable work tempo and letting subordinates perform to their own standards.	Establishing medium performance standards for subordinates.
Trusting subordinates to do whatever is necessary to produce acceptable results, and seldom either giving them directions, monitoring their activities, or evaluating their progress or results.	Personally directing subordinates' efforts (telling them in a nice way what to do) and then monitoring activities and evaluating results on a regular basis (but spending as little time as possible doing so).
Communicating mostly information and guiding suggestions to subordinates.	Communicating mostly decisions and instructions to subordinates (but in a rather low-key manner).
Relying on personality-based influence (and seldom asserting position-based power) when asking, suggesting, cajoling, or using friendly persuasion in order to get things done.	Exercising position-based power or authority in a rather low-key manner when trying to get things done.
Employing hygiene factors only as positive (not negative) psychological stimulators, but insufficiently and ineffectively incorporating motivator factors into subordinates' jobs.	Adequately employing hygiene factors as positive stimulators (and not using them as negative stimulators), but not incorporating motivator factors into subordinates' jobs to the extent possible.
Listening to subordinates' ideas, feelings, opinions, and complaints in order to determine what more can be done to make them more comfortable and happy.	Listening to subordinates' ideas, suggestions, and opinions in order to formulate better goals, plans, and solutions, make better decisions, and keep in touch with what is going on in the unit.
Concentrating on improving subordinates' personal well-being and growth, but doing little if anything to develop their integrative, interpersonal, and technical, functional, or professional capabilities.	Providing subordinates with adequate training in managerial (integrative) and technical, functional, or professional knowledge factors and skills.
Being highly sensitive to subordinates, interacting frequently and gregariously with them, and being easy to approach.	Being moderately interested in and sensitive to subordinates and trying to be "one of the guys."
Trying to smother interpersonal conflicts by accommodating subordinates' wishes and promoting good fellowship.	Trying to resolve conflicts by prescribing a compromise that is more or less agreeable to those involved.
Ignoring subordinates' mistakes and sidestepping problems, trusting that subordinates will somehow remedy or solve them.	Tolerating subordinates' mistakes and taking action to solve the problems created by them.
Always painting a rosy, optimistic picture of what is going on in the unit and the organization.	Telling subordinates only what they really need to know about what is going on in the organization.
Frequently praising and seldom criticizing subordinates, even though they may not be performing very well.	Praising more than criticizing subordinates' performance.

Low Task Orientation

Non-Managerial Style

Low People Orientation

Trying to maintain a comfortable, secure, tension-free atmosphere for oneself, but doing very little if anything about subordinates' performance or satisfaction.

Letting superiors establish most goals, plans, solutions, and decisions, and delegating any unavoidable integrative tasks to subordinates.

Letting superiors formulate subordinates' job descriptions and working procedures.

Letting subordinates perform to their own standards.

Not being at all directive or controlling and not involving oneself in integrative processes; simply letting subordinates do things on their own and informing them of superiors' decisions and instructions whenever they issue them.

Communicating mostly superiors' decisions and instructions to subordinates, but otherwise being relatively uncommunicative.

Seldom exercising position-based power or authority.

Doing very little if anything to stimulate, satisfy, fulfill, or really motivate subordinates.

Paying little if any attention to subordinates' ideas, suggestions, feelings, or opinions.

Providing subordinates with technical, functional, or professional training only when forced to do so by superiors, and doing nothing to develop subordinates' interpersonal or integrative capabilities.

Behaving more or less indifferently toward subordinates.

Disregarding or sidestepping interpersonal conflicts.

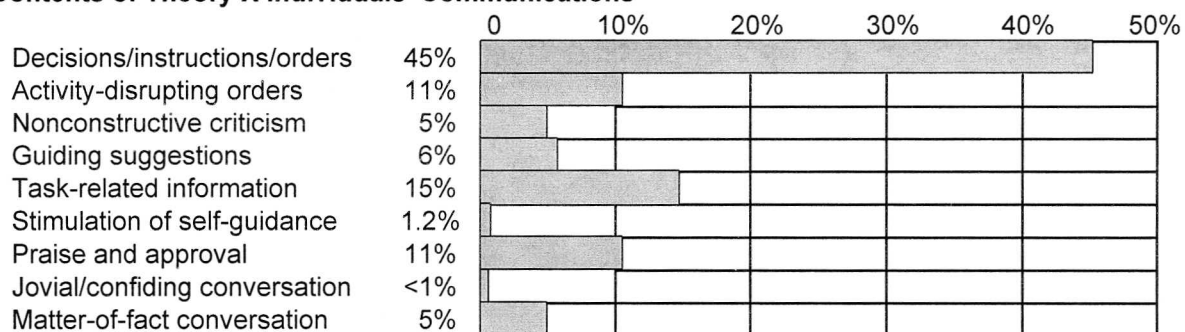
Ignoring (and often being completely unaware of) subordinates' mistakes and the problems created by them, unless they have either threatened or disturbed the status quo.

Telling subordinates very little if anything about what is going on in the organization.

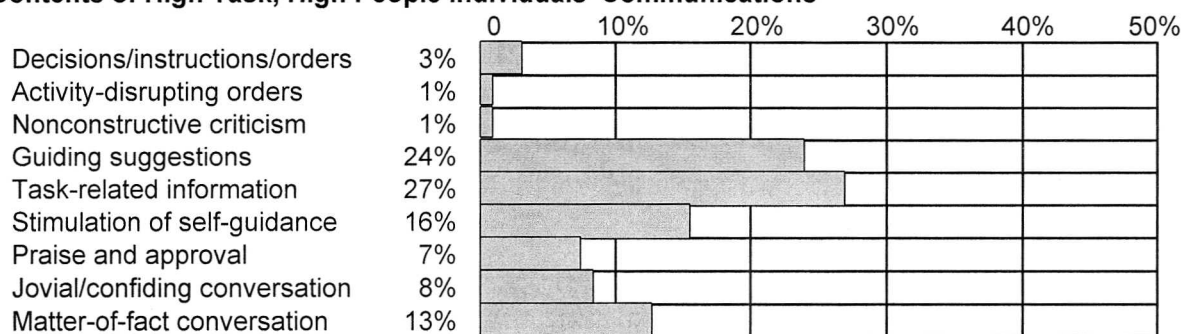
Saying little or nothing about subordinates' performance.

Exhibit 2: Comparison of Contents of Various Managers' Communications³⁰

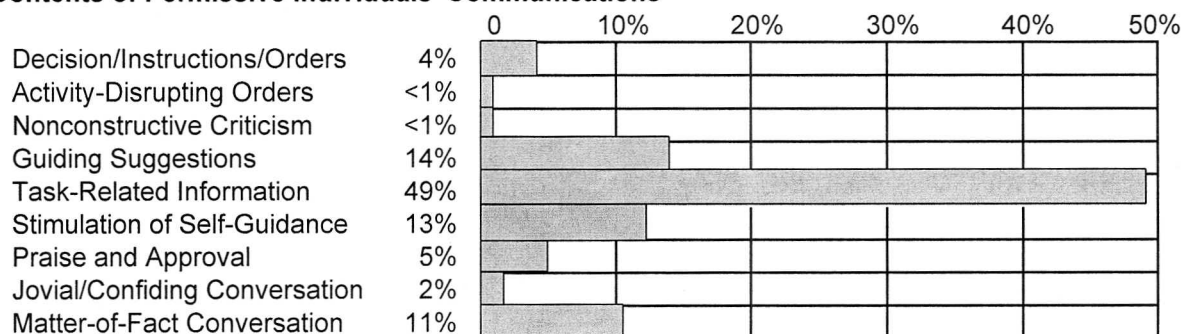
Contents of Theory X Individuals' Communications



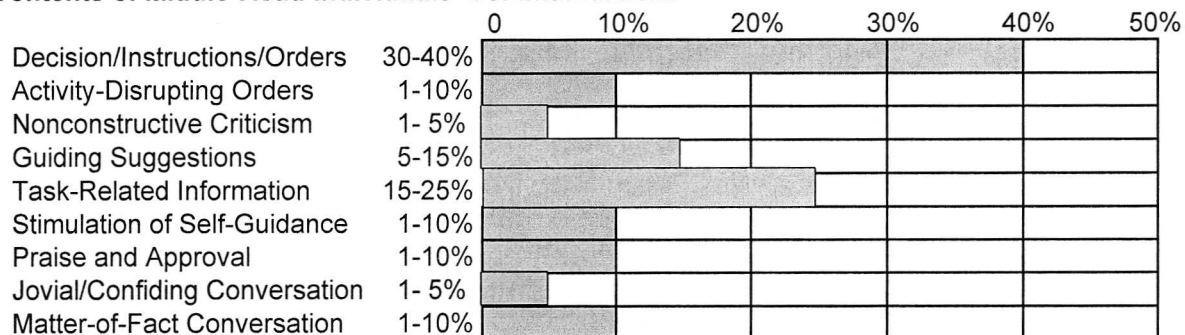
Contents of High Task, High People Individuals' Communications



Contents of Permissive Individuals' Communications



Contents of Middle-Road Individuals' Communications



If the styles Tannenbaum and Schmidt described were placed on a grid framework, they would appear as the diagonal continuum from “very permissive” (subordinate-centered) down to “hard Theory X” (boss-centered)—as shown in **Figure 9**.

Several important (but erroneous) assumptions underlie Tannenbaum and Schmidt’s model:

- A. One cannot be highly task-oriented and highly people-oriented at the same time. One can either be highly task-oriented, highly people-oriented, or somewhere in between.
- B. There is an almost inescapable, built-in tradeoff between task-orientedness and people-orientedness. To become more task-oriented, one would necessarily become less people-oriented—and vice versa.
- C. Therefore, the middle-of-the-road style is probably the best, because it represents an achievable balance or compromise between the two extremes.

Likert’s Four Management Systems

Rensis Likert (1961)³² of the University of Michigan’s Institute for Social Research accepted other researchers’ notion that the division of labor in complex organizations inevitably creates problems involving cooperation. In his opinion, the natural tendency in (hierarchical) organizations is to resort to mechanisms of control, such as coercion and economic rewards, which actually serve to intensify the conflicts between individuals and groups that arise naturally through the division of labor. He therefore concentrated on identifying those forms of organization that most successfully overcome the problems of cooperation and low motivation that are inherent in most organizations.

Likert found that successful organizations consist of cohesive work groups (tightly knit social sub-systems) that effectively integrate their activities through common participation in an organizational “culture” or “climate.” He also found that interpersonal and inter-group conflicts can be minimized through an organization-wide commitment to group decision making and the development of interpersonal skills.

Likert recognized that the creation of effective groups does not by itself solve problems of cooperation. Creating internally cohesive groups, he said, might only serve to increase conflicts between groups. He therefore emphasized

the importance of establishing a consistent, interactive climate throughout an organization. The following are several tactics he suggested:

- a. rotating managers between functions;
- b. establishing multiple-overlapping group memberships (“linking pins” between organizational levels), partly through establishing a matrix organization, which provides for effective communication between highly differentiated sub-units; and
- c. methodically establishing a participative, developmental climate throughout an entire organization.

Likert asserted that there are essentially four managerial styles or systems. He called them “systems” rather than “styles” because he recognized that a particular managerial style (way of integrating tasks and people) tends to pervade a given organization in a “systemic” manner. The following are descriptions of his four systems.

System 1 is a highly task-oriented and structured, exploitative-authoritarian system. It corresponds to the Theory X, “High Task, Low People,” or mechanistic style, where people are “managed” by fear and coercion. Management has little or no confidence and trust in subordinates. Subordinates are seldom involved in goal-setting, planning, and problem-solving processes. Decisions are made at the top and are issued downward through the chain of command. Subordinates are motivated by fear, threats, punishment, and occasional rewards—all of which are aimed primarily at their physiological and safety needs. Boss-subordinate relationships are fraught with fear and mistrust. Informal organizational relationships tend to develop in opposition to formal, high-level control.

System 2 is a benevolent-authoritative, “public-relations-conscious” system, where people are managed by a carrot rather than a stick. In our opinion, this system corresponds to the soft Theory X style where it borders on the middle-of-the-road style. Management displays a condescending confidence and trust in subordinates—as in a master-servant relationship. Really important decisions are made at the top, but some less important decisions are made at lower levels within a prescribed framework. Motivation of subordinates is based on rewards and on threatened or actual punishment. Boss-subordinate interactions reflect condescension on the part of the boss and caution on the part of the subordinate. Since some control is delegated to middle and lower levels, the informal organizational processes that tend to develop do not resist formal processes to the extent found in System 1.

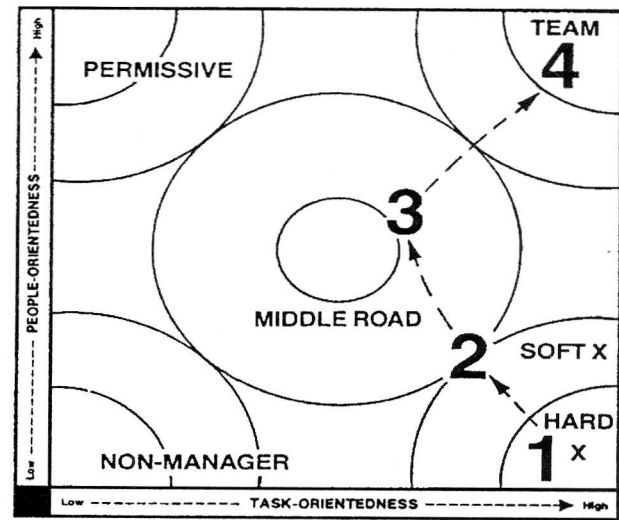
System 3 is a consultative system. It involves the use of carrots, sticks, and two-way communication. We equate it with the middle-of-the-road style described in **Table 3**. Management has substantial but incomplete confidence and trust in subordinates. Major decisions are made at the top, but authority is delegated to middle and lower levels to make many decisions within prescribed guidelines. If subordinates are not directly involved in decision making, their superiors will at least consult them for their information, opinions, and preferences. Motivation of subordinates is based on rewards, occasional punishment, and some involvement in integrative processes. Boss-subordinate relationships reflect a fair amount of mutual confidence and trust. If informal organizational relationships develop, they may either support or partially resist organizational goals and control.

System 4 is a participative, team, group, or employee-centered system. We equate it with the Theory Y or participative style. Management has complete confidence and trust in subordinates. Broad goals, plans, and policies are established at the top, but middle and lower levels are delegated authority to make important decisions regarding specific operating goals, plans, and procedures. Communications flow freely both vertically and horizontally throughout the entire organization. Motivation is unlocked within subordinates as they participate in goal-setting, planning, coordination, and evaluation processes. Boss-subordinate interactions reflect a high degree of congeniality and mutual respect and trust. Since integrative responsibilities and authority are diffused throughout the organization, and since communication and interaction are open, honest, and cooperative, the formal and informal processes tend to be identical. Emphasis is placed on developing effective work groups. Work groups are integrated (coordinated) through “linking pins” (generally the heads of groups who are members of higher-level groups).

Although Likert felt that System 4 is the most effective system (style), he acknowledged that subordinates’ reactions to a particular practice or behavior pattern could depend on the behavior they expected. If, for example, a manager began behaving more democratically than subordinates had come to expect, the subordinates could find the behavior bewildering or objectionable. Likert felt, therefore, that moving an organization to System 4 from System 1 involved a phased, organization-wide transition from System 1 to 2 to 3 to 4.

System 4T: More recently, Likert saw a causal relationship between managerial styles and business perform-

Figure 11: Positions of Systems 1 through 4



ance. As a result, he conceived this “Total Model Organization,”³³ which involves System 4 plus . . .

- a. setting high performance goals;
- b. using well-developed leader skills and knowledge;
- c. providing planning, resources, equipment, and help for subordinates.

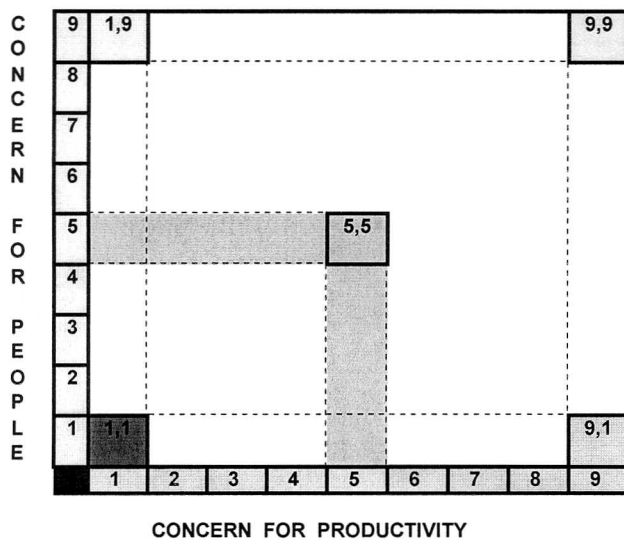
System 5: Anticipating the evolution of organizations, Likert also described a “system of the future.”³⁴ Here, hierarchical authority will have disappeared and be replaced by overlapping work groups and the integrative roles of “linking pins.”

Blake and Mouton’s Grid Concept

Robert Blake and Jane Mouton’s concept of The Managerial Grid[®] was first published in articles (1962)³⁵ and then in a book (1964).³⁶

As shown in **Figure 12** on the next page, their grid has two axes. The horizontal axis is labeled “Concern for Productivity.” The vertical axis is labeled “Concern for People.” Each axis indicates an individual’s level of the particular concern, starting at the lower left corner with “1” (low) and ranging to “9” (high). The model’s premise is that a manager’s style is a function of his or her particular combination of levels of concerns for productivity and people.

Figure 12: Grid Reference for Managerial and Leadership Styles



Blake and Mouton described several distinctive styles, each represented on the grid by a point where the levels of the two concerns intersect.

The **9,1 Style** represents a high concern for productivity, but a low concern for people. It is equatable with the Theory X, authoritarian, or “High Task, Low People” (HT,LP) style described in **Table 3**.

The **1,9 Style** represents a low concern for productivity, but a high concern for people. It is equatable with the permissive or “Low Task, High People” (LT,HP) style described in **Table 3**. Blake and Mouton also called this the “country club style.”

The **5,5 Style** represents a medium concern for productivity coupled with a medium concern for people. It is the consultive, mid-road, or “Medium Task, Medium People” (MT,MP) style described in **Table 3**.

The **1,1 Style** represents the lowest concerns for productivity and people. Blake and Mouton called this the “non-managerial style.” Its position is at the lower left corner on the grid framework—the “Low Task, Low People” (LT,LP) position described in **Table 3**.

The **9,9 Style** represents the highest concerns for productivity and people. It is equatable with the participative, team, or “High Task, High People” (HT,HP) style—and with what we believe McGregor meant by Theory Y. Blake and Mouton believe that the 9,9 style is superior to all others. (See **Table 3** and the Appendix to this booklet.)

Blake and Mouton observed that managers tend to use the style they prefer, but will resort to a “back-up style” if the preferred style does not seem to be getting the desired results. They also observed that there are more than just the five distinctive styles (e.g., 8,1; 7,2; 6,5; 3,8; 2,4; 9,5; etc.). They therefore warned against thinking solely in terms of the five distinctive styles.

The grid concept represented a breakthrough in managerial style theories. The grid framework enabled theorists and managers to conceptualize, examine, and relate a wide variety of styles.

Unfortunately, the concept of a grid framework was just beginning to be developed when McGregor first conceived Theory Y. In effect, he had conceived a “new dimension” that was both highly task- and people-oriented—a dimension that was not constrained by having to make trade-offs between productivity and people (as in the case of Tannenbaum and Schmidt’s continuum theory).

Many managers did not accept the Theory Y concept at first. Many still do not, even though participative or team management is currently being advocated in many publications and is being practiced successfully in many organizations. We think there are several reasons, two of which we will discuss here. (Others will be discussed in Parts II and III.)

First, the following mistaken, conventional views were—and still are—held by many managers:

1. Task-oriented behavior and associated task-related results are different from people-related behavior and associated people-related results.
 - a. Task-oriented behavior, aimed at obtaining task-related results involving subordinates’ productivity or performance, is boss-centered.
 - b. People-oriented behavior, aimed at obtaining people-related results involving subordinates’ satisfaction, is subordinate-centered.

Many managers, for example, believe that “people-oriented behavior” means the following: being nice,

warm, friendly, and supportive; spending time socializing; and trying to make others happy and comfortable. Although people-oriented behavior can involve these things, simply fulfilling social and other lower-level needs on the job is not actually as people-oriented as fulfilling both lower- and higher-level needs.

2. Trade-offs exist between task-oriented behavior and people-oriented behavior, and, thus, between task-related results and people-related results:
 - a. Spending time behaving one way precludes spending time behaving the other. Thus, behaving one way a higher percentage of the time means behaving the other way a proportionately lower part of the time.
 - b. To obtain really good results of one kind, one must sacrifice results of the other kind. Thus, one can only obtain combinations of results such as “high task and low people,” “low task and high people,” or “medium task and medium people”.

As a result of these attitudes, many managers will push subordinates hard to get a project completed on time (will be task-oriented) and then will have a party for subordinates (will be “people-oriented”).

3. In view of 1 and 2 above, therefore, it is not possible to maximize both the performance and the satisfaction of one’s subordinates—that is, one cannot behave in a “high task, high people” manner and obtain high task- and people-related results at the same time.

Second, many managers have not accepted the participative, team, or “high task, high people” style concept because they have not yet been shown convincingly enough why and how a manager can be highly task-oriented and highly people-oriented at the same time. The next model is the best instructional tool we have seen for getting this concept through to managers.

Miles’ Human Resources Approach to Management

In 1965, Raymond Miles³⁷ (University of California, Berkeley) proposed his “Human Resources Approach” to management. Our slightly modified version of his model is shown in **Figure 13** (page 38). As shown in the model, participative managers can and should use this approach to bring about a sequence of beneficial causes and effects.

Once begun, the sequence tends to reinforce and perpetuate itself.

First, participative managers initiate and sustain the approach by (continually) encouraging and guiding the following:

- a. subordinates’ participation in important goal-setting, planning, decision-making, and problem-solving processes involving them and their jobs;
- b. subordinates’ greater direction, coordination, and control of their own activities; and
- c. subordinates’ greater exercise of creativity and initiative in all their integrative and technical activities.

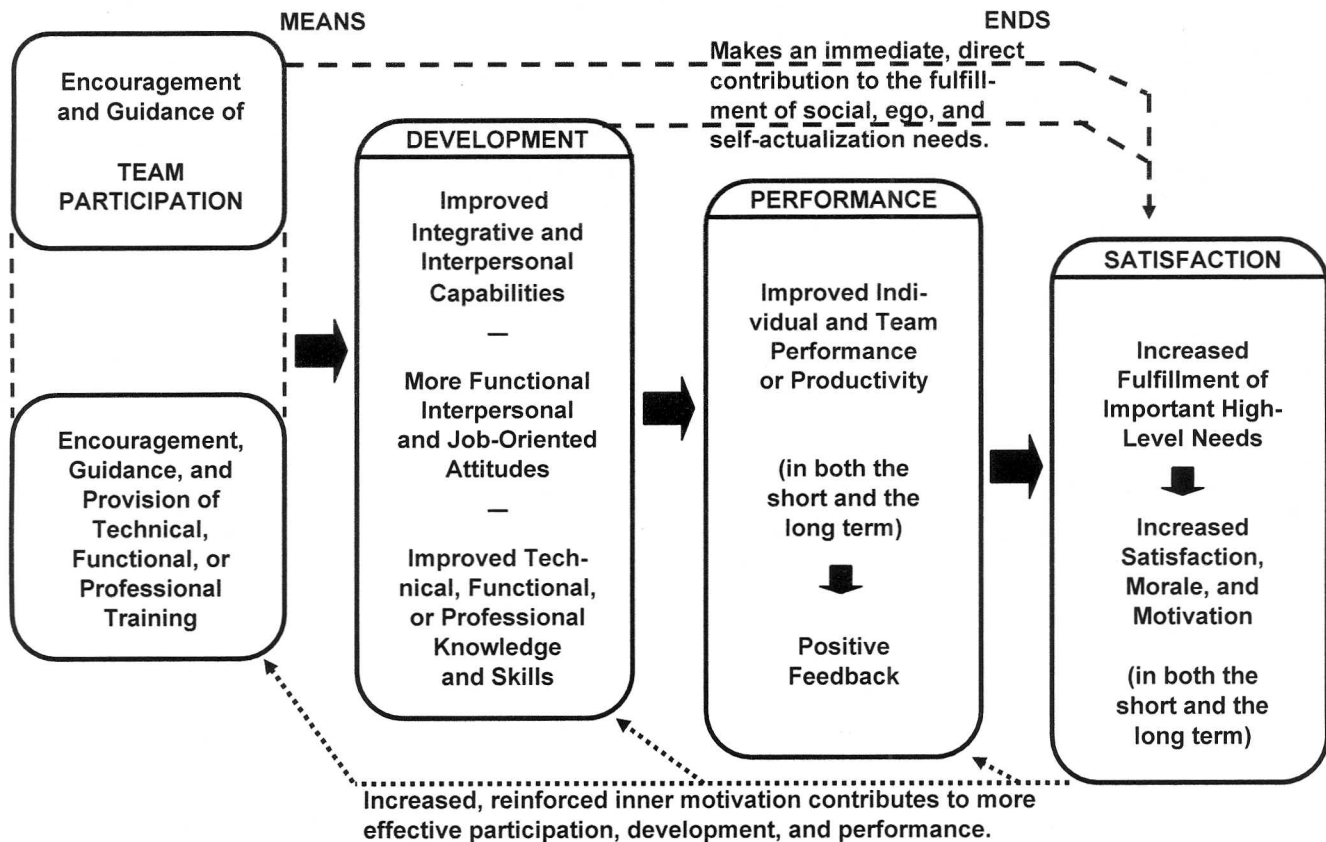
In the short term, participative managers enable their subordinates to participate in integrative functions with adequate effectiveness by providing them with training in management concepts and methods and group process procedures. In addition, they encourage, guide, and provide for subordinates’ technical, functional, or professional training.

Participative, developmental practices directly produce one primary and several secondary results.

The primary result they bring about, as indicated by the large arrow on the left side of **Figure 13**, is individual and team development:

1. They develop subordinates’ goal-setting, planning, decision-making, and problem-solving capabilities—partly through training, but more importantly through experiential learning (learning by doing—by actually participating).
2. They develop subordinates’ capacities for greater, more efficient, and more effective self-direction, self-coordination, and self-control—both through training and experiential learning.
3. They develop subordinates’ potentials for exercising more creativity and initiative—both through training and experiential learning.
4. They develop and/or improve subordinates’ technical, functional, or professional knowledge and skills.
5. Participative (group) processes develop team-oriented attitudes, skills, and working relationships that are conducive to highly effective teamwork:
 - a. Group processes increase subordinates’ exposure to the knowledge, skills, experience, job respon-

Figure 13: Miles' Human Resources Approach



sibilities, job orientations, job interdependencies, and problems of their superiors, co-workers, and subordinates. This improves their understanding of and attitudes toward the jobs and people around them.

- b. They develop subordinates' interpersonal skills (e.g., communicative skills and interpersonal awareness and sensitivity).
 - c. By doing (a) and (b) above, they also help reduce interpersonal and interdepartmental conflicts, which often stem from a lack of understanding of other people, their jobs, their job orientations, and their problems.
6. Participative, developmental practices also contribute to managers' development. As managers train,

advise, relate with, inform, and guide their subordinates, and as they set a good example for them, they further develop or improve their own integrative and interpersonal skills and attitudes.

Several of the secondary effects directly produced by participative practices are motivational. As indicated by the dashed line at the top of **Figure 13**, subordinates' participation in integrative processes contributes directly and simultaneously to their need fulfillment, and, thus, to their morale and motivation:

1. Participation makes subordinates' jobs more interesting, challenging, and inherently motivating. As subordinates incorporate more of their own ideas into their job descriptions, working procedures, performance goals and standards, and solutions to problems, their jobs become more "their own babies."

2. Participation enables subordinates to incorporate their own feelings, needs, and goals into unit and organizational goals, plans, policies, procedures, solutions, and decisions. This (a) increases their awareness of, acceptance of, and commitment to organizational goals, plans, policies, and procedures; (b) increases their motivation to implement these types of decisions (since they are internally motivated to fulfill the personal needs, motives, and goals incorporated into them); and (c) eventually leads to an increase in their job satisfaction (since the implementation of plans, policies, procedures, solutions, and decisions—and the subsequent achievement of goals—result in the fulfillment of the personal needs and goals incorporated into them). This, in fact, is the essence of the people-related aspects of the Management by Objectives concept developed by Peter Drucker.³⁸
3. Participation demonstrates a manager's trust in and respect for subordinates, which contribute to the fulfillment of their ego-related needs and motives.
4. It enables subordinates to contribute more of their knowledge, experience, and opinions to integrative processes. This helps them to feel more useful and important, thereby contributing to the fulfillment of their ego-related needs and motives, also.
5. Participation gives subordinates opportunities to interrelate with each other and their bosses. This contributes to the fulfillment of both social- and ego-related needs and motives.
6. It helps develop a desire in subordinates to participate further, to be more self-directing and self-controlling, and to exercise more creativity and initiative.

Subordinates' participation in integrative processes also produces these secondary performance-related effects:

1. By enabling subordinates to contribute more of their knowledge and experience to integrative processes, participation directly improves the quality of group (team) analyses, goals, plans, solutions, and decisions. Since the quality of performance largely depends upon the quality of these inputs, it also improves the quality of individual and team performance indirectly.

2. Participation provides subordinates with the first-hand knowledge and understanding of goals, plans, solutions, and decisions that enables them to exercise greater and more effective self-direction, self-coordination, self-control, creativity, and initiative. By doing so, it further improves individual and team performance indirectly.

The ongoing development of subordinates' (and managers' and leaders') potentials produces one primary and one secondary result.

The primary result, as indicated by the large arrow in the middle of **Figure 13**, is constantly improving individual and team performance or productivity. Improved attitudes, skills, and team working relationships enable both managers and their subordinates to accomplish their tasks and work together with increased efficiency and effectiveness.

The secondary result, indicated by the dashed line at the top of Figure 13, is motivational. The development of subordinates' technical, integrative, and interpersonal skills and attitudes contributes directly to the satisfaction of their self-actualization motives. To a significant degree, these motives were "unlocked" and "simulated" by greater fulfillment of social- and ego-related motives (through use of participative, developmental, performance-improving practices) and by the development of subordinates' job-related and interpersonal maturity.

We can summarize our discussion of Miles' Human Resources Approach by describing it simply in terms of means and ends: *Participation is the primary means. Development is an "intermediate means." Maximized individual and team performance and satisfaction are the ends.*

The model enables us to recognize two extremely important points: *Task-related results can also be people-related results—and people-related results can also be task-related results. Likewise, task-oriented behavior can also be people-oriented behavior—and people-oriented behavior can also be task-oriented behavior.* Here is why.

While participation, development, performance, and satisfaction could each be considered essentially either task-oriented or people-oriented, each can also be people-oriented or task-oriented and produce indirect if not direct people-related or task-related results. Examples: The expectation of high performance is normally con-

sidered task-oriented. But because exceptional performance contributes directly to an individual's sense of self-worth and personal accomplishment, and, thus, to on-the-job satisfaction or fulfillment, it produces people-related results in addition to task-related results. So, an emphasis on high performance can be considered people-oriented as well as task-oriented. Similarly, development could be considered essentially people-oriented, inasmuch as development helps to fulfill ego and self-actualization needs/motives. But because development also contributes to better individual and team performance, it produces task-related results in addition to people-related results. Thus, emphasis on development can be considered task-oriented as well as people-oriented.

Each of these factors, then, is directly or indirectly task- and people-oriented—especially when they are all emphasized within the context of the human resources approach and the spirit and intent of the Theory Y style. *What is the spirit and intent of Theory Y? To emphasize productivity for the sake of people as well as for the sake of productivity, and to emphasize people for the sake of productivity as well as for the sake of people.*

To show what this approach does not involve, thereby putting it into greater perspective, let us compare it with another approach to participation described by Miles.

Miles is among many management experts to observe that numerous managers who sometimes use participative practices are not necessarily “high task, high people” individuals. Although they endorse the use of participative practices for their subordinates, many managers, says Miles, actually doubt that their subordinates have either the capabilities or potentials for making significant contributions to integrative processes, for being more self-directing and self-controlling, for using good judgment, or for exercising more creativity and initiative. In effect, they are inclined to regard their subordinates' capabilities, attitudes, and motivation as more or less static and unimprovable (the Theory X view) rather than regarding them as capabilities, attitudes, and motivation that can be further developed, improved, or unlocked (the Theory Y view). Therefore, in order to get the most from the capabilities they think their subordinates do have, these managers employ the somewhat distorted and manipulative “human relations approach.”

Managers and leaders who employ this approach use participation to increase subordinates' satisfaction, morale, and motivation by giving them opportunities to express

themselves, to make contributions to integrative processes, and to experience feelings of greater self-worth and importance. These managers and leaders, however, actually intend greater satisfaction, morale, and motivation to (a) increase subordinates' effort, (b) decrease their resistance to organizational objectives, and (c) increase their compliance with authority—all of which they hope will improve subordinates' performance. When participation is ultimately intended to serve task-related rather than people-related purposes, and when it is used in this spirit, it amounts to little more than a manipulative gimmick or bribe. In fact, these leaders and managers actually do two things: First, even though they may have subordinates participate in certain processes, they will usually go ahead and do what they initially intended to do—regardless of subordinates' inputs. Second, rather than letting subordinates participate in important matters, they actually tend to let them participate only in trivial matters.

This approach, often used by Theory X managers and leaders to soften their style and to increase subordinates' cooperation, cannot be as effective as the human resources approach. It neither emphasizes nor provides for comprehensive development of subordinates' potentials—development that would enable them to perform more complex functions better, to be more self-directing, self-coordinating, and self-controlling, and to experience the greater fulfillment that accompanies arriving at a higher plateau in personal and team achievement.

Organizational Behavior Theorists

While the early managerial behavior theorists were developing the first concepts that specifically related to managerial styles, organizational behavior theorists were studying organizational behavior in general. In the process, they were developing concepts that would have a tremendous impact on the second wave of managerial style theories.

Chester Barnard

From the late 1930s to the late 1940s, Chester Barnard (Bell Telephone Company) concerned himself with (a) managing the values of an organization, and (b) promoting cooperative behavior within an organization.³⁹

Barnard believed that the real roles of a chief executive are to manage the values of the organization and to secure employee commitment. He thought that a manager's functions included (a) establishing and managing a system of communications; (b) motivating employees to the organiza-

tion's goals; and (c) formulating goals in a clearly communicable way.

In this context, Barnard emphasized three basic principles for ensuring the effectiveness of communications:

- A. Everyone should know what the channels of communication are.
- B. Everyone should have access to a formal channel of communication.
- C. Lines of communication should be as short and direct as possible.

“Classical” vs. “Modern”

In the late 1950s and early 1960s, both classical and more modern organizational theories were being critiqued.

Classical organizational theories essentially revolved around the concept of specialization of labor. In addition, they involved the proposition that organizational efficiency and effectiveness are determined by “key structural variables” such as organizational size and the number of organizational levels (of supervision). Thus, we think of classical theorists as “structuralists.”

Modern organizational theories, on the other hand, revolved around the proposition that being able to predict what is likely to happen in an organization depends on understanding the characteristics and behavior of the people in the organization. These theories have dealt with such topics as motivation, satisfaction, leadership, and conflict resolution. We therefore think of the (early) modern organizational theorists as “humanists.”

Warren Bennis

A prominent writer on organizational and managerial behavior since the late 1950s, Warren Bennis (MIT Sloan School of Management, and University of Southern California Business School) observed that the classical theorists studied organizations without considering people, while the (early) modern theorists studied individuals without considering the organization.⁴⁰ In 1968 he predicted that, to cope with modern marketplaces, many organizations would need “adhocracy”—that is, free-moving project teams.⁴¹

More recently, Bennis has made points that emphasize the importance of effective leadership in management:

1. “Managers do things right; leaders do the right things.” [Question: What should you call someone who does the right things right?]
2. “A manager administers, the leader innovates; the manager maintains, the leader develops; the manager asks how and when, the leader asks what and why; the manager relies on control, the leader inspires trust.”⁴²
3. The best leaders are ideas people — conceptualists.⁴³
4. Leadership is “the capacity to create a compelling vision and translate it into action and sustain it.”⁴⁴
5. There are four key leadership abilities:⁴⁵
 - a. the *management of attention* (applying a vision of movement from present to future);
 - b. the *management of meaning* (communications);
 - c. the *management of trust* (the glue that binds followers and leaders together); and
 - d. the *management of self* (persistence, self-knowledge, willingness to take risks, commitment, and challenge).

March and Simon

March and Simon (1958)⁴⁶ observed that recent theorists (involved in the human relations movement), while emphasizing people's feelings, emotions, and motivation, were (a) ignoring organizational conflicts and their resolution; (b) under-estimating people's information processing capacities; and (c) under-emphasizing people's ability and inclination to think and make decisions.

These and many other researchers' perspectives gave rise to more recent organizational behavior research and theories. During the late 1950s and early 1960s, theorists were beginning to take a more “systemic” view of the relationships between people and organizations.

Trist's Socio-Technical Systems

One of the most significant models proposed was the Socio-Technical Systems model developed by Eric Trist (1960)⁴⁷ of London's Tavistock Human Relations Institute. This model, which we discuss in detail in the segment of the series entitled *Organizational Behavior*, identifies five basic types of causal/influential factors operating in and on organizations:

- a. task or technological factors;
- b. individuals' characteristics;
- c. organizational variables;
- d. social variables; and
- e. outside forces or factors.

The model proposes that all these factors are operating in any organization (although the corresponding facts differ from organization to organization), and that the attitudes, activities, and interactions that occur have multiple, inter-related causes. The model was originally used to point out that, while traditionally-analyzed factors such as task-related and organizational (structural) variables do influence what goes on in organizations, individual's characteristics (abilities, knowledge, motives, and personalities) and social interactions should be given equal consideration in problem-solving, decision-making, and conflict resolution situations.

We should mention that the socio-technical model has been criticized for focusing too much attention on people and not enough attention on task-related variables such as productive efficiency and quality control. This criticism was born in the face of American reaction to Japanese efficiency and product quality. We consider such criticism to be unfair. Early proponents of the model used it to emphasize human influences on organizational activities, largely because those influences were not being given enough consideration by problem-solvers and decision-makers. Problems arose because managers paid more attention to human factors and less attention to technological and organizational factors—not because this useful “meta-systems” model was ill-conceived.

As the more recent systemic views were taking shape, researchers began studying particular aspects of human-organizational systems.

Woodward

In 1958, British industrial sociologist Joan Woodward⁴⁸ published her research into the effect of technology on administrative characteristics of an organization—particularly on span of control (number of subordinates being supervised). She distinguished between (a) “small batch organizations” (job shops) that produce specialty products one at a time; (b) “large batch or mass production organizations” that produce large quantities of products (e.g., on assembly lines); and (c) “continuous process organizations” that produce products such as chemicals through some sequence of

operations. She found that the median (and effective) span of control in small-batch organizations was between 21 and 30; in mass production organizations, between 41 and 50; and in continuous process organizations, between 11 and 20 (partly due to the costliness of mistakes in process operations).

Burns and Stalker

Industrial sociologists Tom Burns and G. M. Stalker (1961)⁴⁹ found relationships between the nature of work being done and the nature of an organization. They reported the following: On one hand, organizations operating in stable industries tend to be “mechanistic” (tend to have highly formalized policies and procedures, centralized decision-making at higher levels, and small spans of control). This was mostly due to another finding: In general, where an organization's personnel perform simple, routine, highly certain (mechanistic) jobs (as they tend to do in stable industries), they perform most effectively in a mechanistic (controlling) structure.

On the other hand, organizations operating in dynamic, changing industries tend to be more “organic” (tend to have fewer formal policies and procedures, more middle management decision making, and larger spans of control). This was mostly due to another finding: In general, where personnel perform uncertain, ambiguous, problematic, complex (organic) jobs (as they tend to do in unstable, changing industries), they function most effectively in a more organic (participative) structure.

Argyris

Chris Argyris (1964)⁵⁰ developed concepts that are broad in scope. They encompass organizational structure, organization-environment relationships, people's higher-level psychological needs, and the socio-cultural setting of an organization.

Argyris recognized several inherent characteristics of (traditional, hierarchical) organizations:

1. An organization's hierarchy is inevitably hostile to the development of individual autonomy. It enables the more powerful to impose restrictions on the less powerful, thereby fostering a state of dependence that constrains the fulfillment of personnel's higher-level needs.

2. There is an inherent conflict between the productive goals of an organization and the psychological needs of its personnel.
3. Hierarchical organizations generate a level of specialization that relegates their lower-level personnel to psychologically unfulfilling jobs.

He also made important observations about relationships between people's maturity and organizational phenomena. He noted that, as people pass from infancy to adulthood, they pass from (a) being passive to being active; (b) being dependent to being independent; (c) being able to behave in few ways to being able to behave in many ways; (d) having erratic, shallow interests to having deeper, stronger interests; (e) having a short-term perspective to having a long-term perspective; (f) having a subordinate position to having an equal or super-ordinate position; and (g) lacking an awareness of self to having an awareness of and control over self. He thought that traditional organizations expect people to behave in immature ways and that keeping individuals immature is built into such organizations.

In addition to these observations, Argyris identified two different sets of organizational value systems. The first, the *Bureaucratic/Pyramidal Value System*, contains the following views:

- A. Important human relationships—the crucial ones—are those that relate to getting the job done and achieving organizational objectives.
- B. Effectiveness in human relations increases as behavior becomes more rational, logical, and clearly communicated; effectiveness decreases as behavior becomes more emotional. Therefore, cognitive rationality is to be emphasized; feelings and emotions are to be played down.
- C. Human relationships are most effectively motivated by carefully defined authority, direction, coercion, control, and rewards and penalties that emphasize behaving rationally and achieving objectives.

According to Argyris, these bureaucratic/pyramidal views foster rigidity, mistrust, immaturity, and intergroup conflict, all of which are obstacles to effective problem solving. (In addition, these Theory-X-like values or views also tend to perpetuate phenomena that are characteristic of traditional or hierarchical organizations.)

The second set of values, the *Humanistic/Democratic Value System*, contains these views:

- A. The important human relationships are not only those related to achieving the organization's objectives, but are also those related to maintaining the organization's internal system and adapting to the environment.
- B. Human relationships increase in effectiveness as all the relevant behavior (rational and interpersonal) becomes conscious, discussible, and controllable.
- C. In addition to direction, controls, and rewards and penalties, human relationships are most effectively influenced through authentic relationships, internal commitment, and the process of confirmation.
- D. Each individual has developable potentials—the development of which would benefit both the individual and the organization.

Argyris claimed that following this non-traditional set of values would foster an atmosphere wherein (a) people would be treated as individuals; (b) trusting, authentic relationships would develop; (c) there would be more opportunities for individuals to develop their potentials to the fullest; (d) individuals would be both encouraged and enabled to behave in a mature manner; (e) work would become more exciting and challenging; (f) people would have a greater opportunity to influence how they do their work; and (g) people's initiative and creativity would be unlocked. These phenomena, he thought, would lead to increased interpersonal competence, intergroup cooperation, flexibility, and greater organizational effectiveness.

Argyris acknowledged that completely merging individual and organizational interests is almost impossible. He noted, for example, that executives unknowingly behave in ways that do not encourage risk-taking, openness, expression of feelings, personal development, and cohesive, trusting relationships—even though they genuinely believe that trust, innovation, and flexibility are crucial to good decision making. Even so, like McGregor, Likert, and others, he sought to help make organizations more humanistic by proposing ways to mitigate the organizational phenomena mentioned above. Toward this end, he identified several key characteristics of humanistic organizations:

- a. the minimization of subordinates' dependence on superiors;

- b. the maximization of personnel's autonomy;
- c. a climate in which superiors trust subordinates — and vice versa; and
- d. shared decision-making responsibility and authority.

In addition to recommending that organizations adopt the humanistic/democratic value system, Argyris emphasized *job enrichment* as a means for increasing humanism in organizations. To reduce specialization, he recommended redesigning jobs into more natural, meaningful groupings of tasks (one mode of job enrichment). To increase personnel's autonomy and control over their own jobs, he recommended establishing participative, developmental management practices (another mode of job enrichment). To improve working relationships within groups, thereby increasing their cohesiveness, he recommended the development of employees' interpersonal skills and sensitivity.

Lawrence and Lorsch

Harvard Business School Professors Paul Lawrence and Jay Lorsch (1967)⁵¹ were influenced by all of the preceding research, concepts, and models. They were particularly interested in identifying which types of organizational structures would be most effective for dealing with the market, technological, and other outside socio-technical forces or factors that affect activities and interactions in different organizations. They recognized that, while some organizations operate in market and technological environments that undergo frequent and unpredictable change, others operate in more stable environments. They also recognized that not all jobs and units in an organization need to adjust or react to the same degree of change.

Lawrence and Lorsch suggested that, to identify the appropriate structure and managerial style in a given situation, one must analyze the differences among (a) managers, (b) managers' personnel, (c) time, skill, and attitudinal orientations of various jobs, (d) personnel's social orientations, and many other socio-technical factors. Rather than talking in terms of specialization of labor (classical theory), they were talking in terms of "differentiation" in the natures of jobs and people. Differentiated tasks and people, they said, require effective integration—especially when an organization must react quickly and appropriately to changing outside forces if it is to be successful. In such a case, they believed, the most effective structure and style would be an organic structure and a participative style. These were the mechanisms necessary to resolve organizational (interpersonal) conflicts brought about by differences in the natures of jobs and individuals.

These and many other related or similar concepts, which took account of the complex interrelationships among factors operating in and on organizations, greatly influenced the development of the "second wave" of managerial style theories. Most of these were "contingency" or "situational management" theories.

Schein

In the late 1970s to mid-1980s, Edgar Schein of M.I.T.'s Sloan School of Management called attention to the role of the "corporate culture" and the "psychological contract" between employer and employed.⁵²

Schein defined "corporate culture" as "what an organization has learned as a total social unit during its history." It is made up of . . .

- a. artefacts (dress codes, office layouts, signals/cues);
- b. values (often enshrined in anecdotes from the founder's time); and
- c. underlying assumptions (regarding behavior within the organization and behavior of the organization within the outside environment).

Schein maintained that the "psychological contract" between employer and employee should involve not only pay, working conditions, hours, and job security, but also how the employee is treated and is encouraged to develop abilities and responsibility. It should not be one-sided, but should include organizational expectations concerning loyalty and diligence.

He identified five key areas in which there should be consensus among the management team and the workforce:

- a. the mission — what business the organization is in, and why;
- b. the goals (which should include specific goals for all employees);
- c. the means to accomplish the goals (including reward and incentive systems);
- d. the means of measuring progress (including reporting and feedback); and
- e. strategies for what to do when things go wrong.

Recent Managerial Style Theorists

By the mid-1960s, models that identified the basic managerial styles had been developed. The more recent theorists would elaborate on the use of various styles in specific situations.

Fiedler's Contingency Theory

Fred Fiedler (1965)⁵³ specifically investigated the effectiveness with which various managerial styles can be used to manage particular types of tasks. Based on data that he had accumulated since 1951⁵⁴ through the use of an attitude questionnaire called the LPC (Least Preferred Co-worker), he arrived at the following conclusions:

1. Effective leadership is a joint function of two sets of factors: leader characteristics and situational characteristics.
2. Various factors operating both inside and outside an organization can moderate the effectiveness of a given style.
3. "The effectiveness of a group is contingent upon the relationship between leadership style and the degree to which the group situation enables the leader to exert influence."⁵⁵
4. There are three major determinants of a leadership situation. *Leader-member relations* essentially revolve around whether or not members of the group like the leader. *Task structure* revolves around four factors: the clarity of goals and task requirements; the degree to which the appropriateness of decisions can be verified; the number of ways problems can be solved; and the number of possible correct solutions. *Position power* revolves around the leader's ability to dispense rewards and punishments.
5. An individual's style is relatively unchangeable, because it is a function of an individual's motivation system. Therefore, it would be easier and more effective over the long term to change the nature of the situation to match the individual's particular style.

Fiedler's theory has received mixed reviews. One researcher, R.P. Vecchio (1977),⁵⁶ tried to validate Fiedler's propositions, but failed to find much support for them.

Fiedler did, however, draw other conclusions that are almost identical to those of Burns and Stalker and Lawrence and Lorsch: In general, where a group is engaged in uncertain tasks, a rather considerate, supportive, informal leader is most effective; but where a group is engaged in highly certain tasks, a controlling, formal, active leader is most effective. As discussed in Parts II and III, however, we believe that the latter conclusion acknowledges the way things are—not necessarily the way they can and should be.

The Ohio State Studies

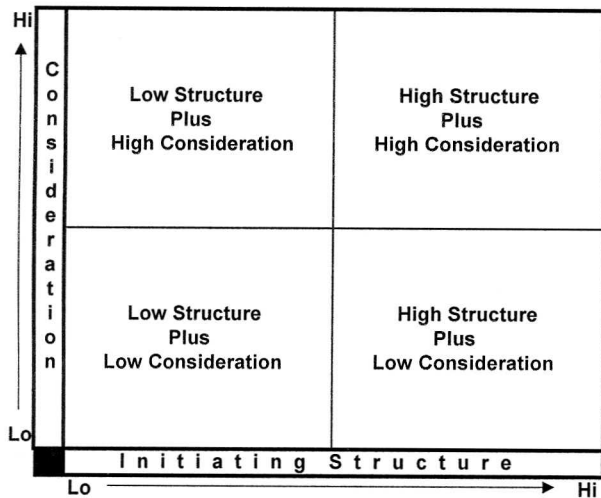
Probably the earliest research concerning a two-dimensional description of managerial styles was begun at Ohio State University in 1945. This (continuing) research has been reported by Fleishman in 1962⁵⁷ and 1967,⁵⁸ by Korman in 1966,⁵⁹ by Kerr (et al) in 1974,⁶⁰ and by others.

The Ohio State two-dimensional model differs from other two-dimensional models in one very important respect. Instead of explaining the use of managerial/leadership styles in terms of underlying traits and/or attitudes (as in the cases of McGregor's Theory X and Y attitudes and Blake and Mouton's "concern for productivity" and "concern for people"), it describes styles in terms of two types of behavior patterns.

One dimension was labeled "*initiating structure*." The structure dimension involves the following: planning, organizing activities, assigning tasks, establishing job procedures, defining working relationships with subordinates, and emphasizing task achievement and productivity. Other frames of reference, developed since the Ohio State studies began, contain similar terms for this behavioral dimension: job-centered, directive and controlling, task-orientedness, and assertiveness.

The other dimension was labeled "*consideration*." This dimension involves managerial behavior that demonstrates (a) trust in, respect for, and warmth toward subordinates, and (b) concern for subordinates' well-being, needs, and feelings. It also involves some emphasis on two-way communication and participation by subordinates in decision making. Others' frames of reference contain similar behavioral terms for this dimension: employee-centered, supportiveness, human relations-oriented, responsiveness, and people-orientedness.

Figure 14: Ohio State's Two-Dimensional Model



[We use the terms “task-orientedness” and “people-orientedness,” largely because they can be used to describe and relate underlying attitudes and actual behavior. Other reasons for using these terms are explained in Part III.]

Asserting that the structure and consideration dimensions are separate and distinct, the researchers plotted leader behavior on two separate grid axes instead of on a single continuum. The results, as shown in **Figure 14**, are four grid quadrants. Each quadrant represents one of four basic combinations of levels of the two behavioral dimensions:

1. High Structure and (plus) Low Consideration
2. High Structure and (plus) High Consideration
3. High Consideration and (plus) Low Structure
4. Low Structure and (plus) Low Consideration

We should point out that these styles do not correspond to the styles on Blake and Mouton’s grid framework, because Ohio State’s combinations of two behavioral dimensions are not the same as Blake and Mouton’s combinations of two attitudinal dimensions. In Blake and Mouton’s framework, a “style” is explained in terms of a causal, underlying combination of levels of two types of attitudes (concerns). It is then described in terms of resulting behavior patterns, which are not specifically divided into task be-

havior and people behavior categories. Because the two underlying sets of attitudes are interrelated and have implications for each other, their grid levels are separated by a comma (e.g., 9,9). In contrast, the Ohio State model does not explain tendencies to behave in certain ways because of underlying traits or attitudes. Instead, it only describes styles in terms of combinations of levels of two separate and distinct types of behavior. The level of one type of behavior does not influence and is not dependent upon the other. To indicate this, we have inserted the word “plus” between the two types of behavior.

The Ohio State studies have not resulted in the researchers’ formulation of a managerial style theory per se. However, this two-dimensional concept did contribute to more recent development of the well-known, two-dimensional theories proposed by Blake and Mouton (attitudinal dimensions) and Hersey and Blanchard (behavioral dimensions).

It should also be noted that Fleishman and Korman are among “contingency” or “situational” management theorists. These theorists believe that (a) there is no one best style that fits all circumstances, and (b) one’s choice of a style should be contingent on certain situational factors.

Hersey and Blanchard’s Situational Leadership Model

Formerly called the “Life Cycle Theory of Leadership,” the Situational Leadership model was developed by Paul Hersey and Kenneth Blanchard (1976).⁶¹ Based on the Ohio State model, their model describes four styles in terms of combinations of levels of two behavioral dimensions. It also prescribes which combinations to use under particular circumstances. Unlike other grid-oriented models, however, it does not explain leaders’ tendencies to use particular styles. It is therefore a more prescriptive than explanatory model.

Hersey and Blanchard’s model embodies the following basic concepts:

- A. There are two basic behavioral components (rather than trait or attitudinal components) of various managerial or leadership styles:
 1. (Level of) **Task Behavior** (directive behavior) — the extent to which an individual organizes and defines subordinates’ roles by outlining what to

do, when, where, and how; and the extent to which the manager defines organizational structure, formalizes channels of communication, and specifies procedures for accomplishing tasks.

2. (Level of) **Relationship Behavior** (supportive behavior) — the extent to which an individual engages in personal relationships with subordinates; the amount of socio-emotional support and “psychological strokes” an individual provides to subordinates; and the extent to which an individual engages in interpersonal communications and facilitating behavior patterns.
- B. There is no single, all-purpose, superior managerial or leadership style. Successful managers or leaders are those who can behave in a variety of ways, and are therefore able to adapt their behavior so that it deals appropriately with particular situations and environments.
 - C. “Although high concern for both production and people (9-9 attitude) and positive Theory Y assumptions about human nature are basic ingredients for effective managers, it may be appropriate for managers to engage in a variety of behaviors as they face different problems in their environment. Therefore, the “high task / high relationship style” often associated with the Managerial Grid 9-9 Team style or the participative “high relationship / low task behavior” that is often argued as consistent with Theory Y may not always be appropriate.”⁶²
 - D. It is difficult if not impossible for a manager to deal with all the interacting variables that influence people’s behavior on the job. The key to effective management is dealing with the relationship between the leader and the follower. This requires using different styles for different sets of circumstances.
 - E. Choosing the right styles to use with an individual or group requires assessing the individual’s or group’s maturity with respect to each specific task to be performed. (Note: This means that, if an individual’s maturity level is different with respect to each of four different tasks, it could be appropriate to use four different “styles” with the individual.) *Maturity* can be defined as “the ability and willingness of people to take responsibility for directing their own performance and behavior with respect to a particular task.” The *dimensions of ability* include: past job

experience; job knowledge; problem-solving ability; ability to take responsibility; and meeting job deadlines. The *dimensions of willingness* are: willingness to take responsibility; achievement motivation; persistence; work attitude; and independence.

- F. There are four basic managerial or leadership styles, each of which, in a grid framework, is a combination of levels of task behavior and relationship behavior. Each particular style should be used for a particular maturity level.

1. *High Task Behavior and (plus) Low Relationship Behavior*: This **telling style** is for low maturity. It is appropriate when people are both unable and unwilling to take responsibility for doing something. “Telling” provides clear, specific direction and supervision. It emphasizes directive behavior and primarily involves defining roles and telling people what to do, when, where, and how. It minimizes supportive behavior, because such behavior may be viewed as being permissive, weak, and rewarding of poor performance.

The telling style corresponds to the Ohio State model’s “high structure plus low consideration” style position in the bottom right corner of the grid in **Figure 14**.

Although the description of this style sounds very much like a description of Theory X behavior, Hersey and Blanchard claim that it is not equatable with Theory X. They assert that this directive behavior will not come across to subordinates as being Theory X if the leader initially formulates a mutual agreement (participatively with the subordinate) regarding the subordinate’s performance goals and how the leader should behave to help the subordinate attain those goals.

2. *High Task Behavior and (plus) High Relationship Behavior*: This **selling style** is for low to moderate maturity. It is appropriate when people are willing but unable to take responsibility. This style involves directive behavior aimed at compensating for people’s lack of ability. It also involves giving support in order to reinforce willingness and enthusiasm. In addition, it involves explanation, which is aimed at getting subordinates to “buy into” whatever is being directed.

The selling style corresponds to the Ohio State model's "high structure plus high consideration" style in the top right corner of **Figure 14**.

This style does not correspond to the "High Task, High People," Theory Y, team, or participative style that we describe in Table 3 and the Appendix. Although its description sounds like a description of the soft Theory X style, Hersey and Blanchard would not equate the two—for the same basic reason mentioned in paragraph (1).

3. *Low Task Behavior and (plus) High Relationship Behavior*: This **participating style** is for moderate to high maturity. It is appropriate when people have the ability to do what the leader wants, but lack the self-confidence or enthusiasm necessary. It involves emphasis on two-way communication aimed at supporting the follower's efforts. It also involves the leader sharing decision making with the follower, with the leader mostly facilitating the process and communicating.

The participating style corresponds to the Ohio State model's "high consideration plus low structure" style in the top left corner of **Figure 14**.

This style does not correspond to the "Low Task, High People" or permissive style described in Table 3. Although its description sounds somewhat like the "High Task, High People," team, or participative style described earlier, it does not fully correspond to our description of that style presented in Table 3 and the Appendix.

4. *Low Task Behavior and (plus) Low Relationship Behavior*: This **delegating style** is for high maturity. It is appropriate when people have both ability and motivation and need little direction, communication, or support from the leader. It involves letting subordinates "run their own show" by deciding what to do, how, where, and when.

The delegating style corresponds to the Ohio State model's "low structure plus low consideration" style in the bottom left corner of **Figure 14**.

This style does not correspond to the "Low Task, Low People" or Non-Managerial style described

in Table 3. Although its description sounds somewhat like the permissive style described earlier, Hersey and Blanchard would not equate their delegating style with permissiveness.

Those who are accustomed to thinking about managerial and leadership styles in terms of Blake and Mouton's Grid model may have some difficulty understanding and accepting Hersey and Blanchard's situational leadership model. This is largely due to having dissimilar descriptions for similar style names. To understand Hersey and Blanchard's model, we believe that it helps to think of their styles not as "styles," but as combinations of inputs for achieving organizational objectives and developing people more or less within the context, spirit, and intent of the Theory Y style.

Since the situational leadership model contains important developmental concepts, we will discuss it further and compare it with our own "synergistic development model" in Part IV.

Lefton, Buzzotta, and Sherberg's "Dimensional Management"

From the early 1930s into the 1980s, psychologists Robert Lefton,⁶³ V.R. Buzzotta, and Manuel Sherberg developed interpersonal skills training for managers.⁶⁴ Their training is aimed at improving not only manager-subordinate relationships, but also manager-peer and subordinate-manager relationships.

Their Dimensional Management Model⁶⁵ identifies four "ways or strategies of managing." Each represents a combination of personal orientations. The first orientation ranges on a scale from *Hostile* (self-centered, insensitive, unresponsive, cynical) to *Warm* (trusting, open-minded, sensitive, responsive). The second orientation ranges on a scale from *Dominant* (assertive, controlling, influencing, taking charge) to *Submissive* (complying, acquiescing). The following four strategies are composed of four different combinations of positions on their two scales:

1. The **Dominant-Hostile (or Power) Strategy**: This strategy emphasizes getting work done and enhancing one's own organizational power. It involves tightly controlling subordinates and manipulating others in the organization. It can be equated with the authoritarian, Theory X, or "9,1" style.
2. The **Submissive-Hostile (or Survival) Strategy**: This emphasizes personal survival. It involves attain-

ing minimum goals and “trying not to rock the boat.” It is equatable with the “low task, low people,” non-managerial, or “1,1” style.

3. The **Submissive-Warm (or Sociable) Strategy:** This strategy emphasizes being liked. It involves cultivating warm relationships with people at all levels of the organization, and is equatable with the permissive, “low task, high people,” or “1,9” style.
4. The **Dominant-Warm (or Growth) Strategy:** This emphasizes achieving both the organization’s goals and its personnel’s goals. It involves generating people’s commitment by meshing organizational goals with personnel’s goals. It equates with the team, participative, ‘high task, high people,’ or “9,9” style and applies the MBO concept of integrated goals.

Lefton, Buzzotta, and Sherberg emphasized developing teams through the development of their thinking and interpersonal skills.

Atkin’s Life Orientations (LIFO) Model

Management consultant Stuart Atkins⁶⁶ published a model in 1973 that is both descriptive (explanatory) and prescriptive. The Life Orientations or LIFO model proposes four types of managerial styles. According to Atkins, managers are inclined to use these styles because of their life philosophies and certain personal traits (such as their values and personality traits).

1. **Supporting-Giving Style:** These managers work very conscientiously, largely in order to prove their worth by demonstrating competence. Among their strengths are thoughtfulness, idealism, trust, loyalty, helpfulness, and receptivity. These strengths, however, can turn into weaknesses. Their thoughtfulness can become self-denial; their idealism can become impracticality; their tendency to trust can become gullibility; their helpfulness can become paternalistic; and their receptivity can become passivity.

This style can be equated with a permissive, “low task, high people,” “low assertive, high responsive,” or 1,9 style.

2. **Controlling-Taking Style:** To managers who use this style, coping and being successful mean having to take charge and make things happen. Such man-

agers are controlling, confident, persuasive, urgent, risk-taking, and forceful. However, if their levels of these traits are excessively high, they can also be domineering, arrogant, distorting, gambling, impatient, and coercive.

This style can be equated with the Theory X, authoritarian, “high task, low people,” “high assertiveness, low responsiveness,” or 9,1 style.

3. **Conserving-Holding Style:** To managers who use this style, one must assess the resources available and build on or maximize them. These managers tend to be practical, economical, factual, reserved, steadfast, and thorough. On the other hand, they can also be uncreative, stingy, databound, stubborn, and unfriendly. In addition, they can be elaborate and inclined to get bogged down in too detailed an analysis of a situation.

In our opinion, this style is somewhat more difficult to pinpoint on a grid framework. We view it as being more or less a variation on the consultive style.

4. **Adapting-Dealing Style:** Managers who use this style tend to empathize with people, to find out what they need, want, and feel, and to try to fulfill others’ needs. They can be youthful, enthusiastic, inspiring, adaptable, and tactful. On the other hand, they can also be childlike, aimless, agitated, inconsistent, unrealistic, and appealing.

Although some have equated this style with the participative, “high task, high people,” “high assertiveness, high responsiveness,” or 9,9 style, we have some difficulty doing so. Frankly, we are not absolutely certain where it fits on a grid framework. We think that, in terms of **Figure 9**, it may lie at a point on the top-most, outer border of the consultive style between the “somewhat participative” and “somewhat permissive” styles.

Atkins is essentially a contingency theorist. He says that, although no particular style is applicable to any one job, organizations do, in fact, tend to reward some styles more than others. He also says that the Life Orientations concept aims to give managers options, so that they can modify their (preferred) styles, if necessary, to complement those of their bosses, work groups, or organizations. (See **Table 4**, page 54, for a summary comparison of various distinctive styles.)

House and Mitchell's Path-Goal Theory of Leadership

In 1974, House and Mitchell⁶⁷ published an applied motivation theory approach that they called the "Path-Goal Theory." It is an applied motivation theory approach because it deals directly with the process of motivating subordinates either to exert effort or to change their behavior.

House and Mitchell's theory is founded on two main propositions:

1. Subordinates will accept, and be satisfied by, leader behavior when they perceive that behavior as being (a) an immediate source of satisfaction, or (b) an instrument for obtaining future satisfaction.
2. Subordinates will put forth increased effort when they perceive that (a) effective performance will contribute to satisfying important needs, and (b) the leader's behavior will help them to perform effectively.

Based on these two propositions, House and Mitchell suggested that good leaders do the following:

- a. identify subordinates' needs and attempt to control (or at least influence) factors that will satisfy those needs;
- b. reward subordinates individually for attainment of performance goals;
- c. help subordinates identify paths to valued goals and to clarify their expectancies of meeting those goals;
- d. remove obstacles goal attainment.

House identified four basic leadership styles:

1. **Directive Leadership** involves (a) providing explicit expectations and specific work-related guidance to subordinates, and (b) maintaining definite standards of performance.

While this style's description sounds somewhat like that of the Theory X style, it probably corresponds more closely to Hersey and Blanchard's description of the "high task behavior and (plus) low relationship behavior" style.

2. **Supportive Leadership** involves showing concern for subordinates' well-being and treating them as equals.

While the description of this style sounds somewhat like Hersey and Blanchard's description of the "high task behavior and high relationship behavior" style, it seems to correspond more closely to our earlier description of the permissive style.

3. **Participative Leadership** involves consulting subordinates and asking for questions, and then considering their suggestions during decision making.

While the name of this style and its position in the group of styles might correspond to Hersey and Blanchard's "low task behavior and high relationship behavior" style, its description seems to correspond more closely to that of the consultive style described in Table 3.

4. **Achievement-Oriented Leadership** involves (a) setting challenging goals, (b) stressing personal performance improvement, and (c) expressing confidence in subordinates' ability to meet the goals.

This style's description corresponds rather closely to the description of the team or participative style described in Table 3 and the Appendix.

Being a contingency theorist, House suggested two types of contingency variables: (a) individual characteristics of subordinates, and (b) environmental pressures (which could emanate from inside or outside the organization).

The Vroom-Yetton Contingency Theory

In 1975, Vroom and Yetton⁶⁸ proposed a somewhat limited model that uses the nature of a decision to be made as the factor on which leader behavior can be contingent. They suggested three criteria for judging the nature of a decision: (a) the quality and/or rationality it requires; (b) the need for its acceptance by subordinates; and (c) the time required to make it.

Vroom and Yetton identified five decision-making strategies (or "managerial styles"):

1. Manager solves the problem, using all information available at the time. (This can be considered a Theory X practice.)
2. Manager obtains information from subordinates, but personally decides how to solve the problem. (This

can be considered a “somewhat consultive” practice.)

3. Manager discusses the problem with subordinates individually and asks for their suggestions and ideas (but does not bring them together as a group). (This practice can also be associated with the consultive style, but it is one of several consultive approaches.)
4. Manager discusses the problem with subordinates as a group, but still makes the final decision. (This practice can be associated with a style that borders between consultive and participative.)
5. Manager discusses the problem with subordinates as a group, jointly generating and evaluating alternatives and agreeing on a solution. (This particular practice is key to the participative, “high task, high people” style described earlier.)

The nature of this theory is basically prescriptive. It identifies several decision-making styles. If the styles were placed on a continuum, the first would take the least time (if time were important); the last would take the most time (if time were not important). On the other hand, the first could be used where acceptance by subordinates is not a major consideration; the last could be used where acceptance is important.

If the decision-making styles suggested in this model were placed on a grid framework, the first style would be at the Theory X position, the second at the “soft X” position, the third in the consultive position, the fourth on the border between consultive and participative, and the fifth in the participative position.

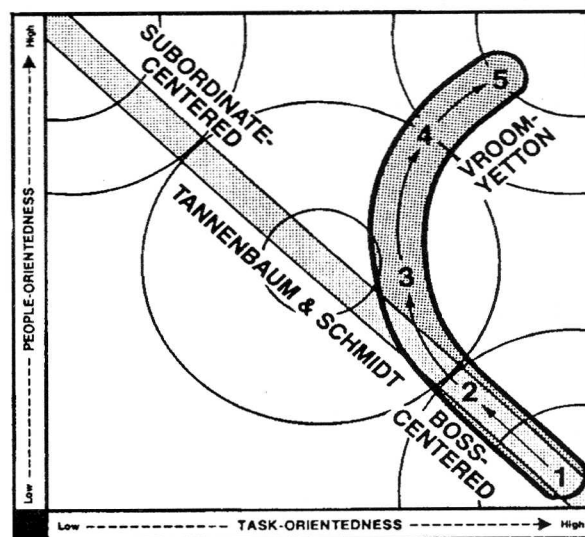
Compared to the Tannenbaum and Schmidt model described on page 34, both models start at the Theory X position and move toward the consultive position. But, once at the consultive position, the Tannenbaum and Schmidt styles continue to follow a straight line to the permissive position, while the Vroom and Yetton styles turn and curve toward the participative position (as shown in **Figure 15**).

Note, too, the similarity between Vroom-Yetton movement from Theory X to participative and Likert’s movement from System 1 to System 4.

Ouchi’s Theory Z

In 1978, William Ouchi⁶⁹ first introduced his concept of Theory Z. It grew out of his extensive research into typical

Figure 15: Comparison of Vroom-Yetton and Tannenbaum and Schmidt Models



American and Japanese organizations. He found that the typical American organization (the “A Model”) is characterized by these phenomena: (a) short-term employment; (b) rapid evaluation and promotion; (c) specialized career paths; (d) explicit control mechanisms; (e) individual decision making; (f) individual responsibility; and (g) segmented concern for individuals.

In contrast, he found that the typical Japanese organization (the “J Model”) was characterized by different phenomena: (a) lifetime employment; (b) slow evaluation and promotion; (c) non-specialized career paths; (d) implicit control mechanisms; (e) collective decision making; (f) collective responsibility; and (g) wholistic concern for individuals (and their families).

Because the J model did not seem to be workable in American organizations due to American cultural phenomena and organizational traditions, Ouchi proposed Theory Z as a vehicle for making American organizations more efficient and competitive.

The following are the essential elements of Ouchi’s “Z Model”:

1. *Long-term employment*: This enables an individual's relatively complete socialization into the organizational culture.
2. *Moderate career specialization*: Rotating people through various functions helps an organization integrate its internal parts.
3. *Slow(er) evaluation and promotion*: This ensures that an individual is not advanced to a responsible position until thorough socialization has taken place.
4. *Consensual (participative) decision making*: Together with a commonly shared culture, this reduces the need for explicit supervision, coordination, and evaluation.
5. *Implicit informal control* (together with explicit performance measurements and formal procedures for performance evaluation).
6. *Individual responsibility*.
7. *Wholistic concern for personnel* (including their families): Because of longer-term employment, interpersonal relationships have an opportunity to broaden and deepen. This results in superiors' development of wholistic concern for subordinates.

The Z type of organization emphasizes lifetime—or at least long-term—employment, which necessitates an employee's commitment to the organization and a reciprocal organizational commitment to the employee. The employee is expected to be patient and tolerant and to believe that everyone will benefit when their group or organization is successful. Ouchi believes that Z-type organizations will be successful and competitive only if employees receive proper training and development in areas such as decision making, interpersonal relations, and communication. Through this training, they would learn about and accept the validity of the system and would become willing to make the necessary changes. In addition, they would develop the decision-making, interpersonal, and communicative skills necessary for them to make effective contributions to the organizational system.

According to Ouchi, organizations that he has identified as being Type Z have been able to curtail the rapid turnover found in many industrial organizations. He notes, however, that these organizations are purposefully inclined to avoid highly volatile markets, to sub-contract necessary but unstable tasks, and to offer attractive working conditions.

Since several practices embodied in the Theory Z approach are similar to “high task, high people” practices mentioned in Table 3, and since several others are more or less in keeping with the spirit and intent of the Theory Y style, we essentially equate Theory Z with the “high task, high people” style. However, because certain key practices are designed to foster the development of cohesive organizational cultures similar to those found in clans, we consider the Z model to be a “hybrid HT,HP, participative approach.”

The HT,HP or Synergistic Style (Approach)

During the 1950's and 1960's, managerial style theorists were advocating that there is “one best style.” McGregor advocated Theory Y, a highly task- and people-oriented style. Blake and Mouton advocated the “9,9” style, a highly task- and people-oriented, participative style. Likert advocated System 4, another “high task, high people,” participative style (management system). Miles advocated the Human Resources Approach, a “high task, high people,” participative, developmental approach to management.

As we have seen, however, it was during the 1960s and early 1970s that organizational behavior research began to change some theorists' views. The research seemed to indicate that certain styles worked best in certain situations (where certain task-related, individual, organizational, social, and/or outside socio-technical factors were operating). Largely because of this research, the 1970s saw the evolution of contingency or situational approaches to management and leadership. The proponents of these approaches contended that various styles must be used, because there is no one best style for all situations.

Today, managerial style theorists are essentially on two separate tracks. “One Best Style” theorists, led primarily by Blake and Mouton, are on one track. Contingency theorists, led primarily by Hersey and Blanchard, are on another track.

Believing in the superiority of a “high task, high people,” participative, developmental style, we developed the “high task, high people” or synergistic approach in the early 1980s. The development of this approach represents an attempt to get management theorists and practitioners back onto one track by incorporating certain positive aspects of contingency approaches into a “high task, high people,” team, or participative-developmental context.

Our HT,HP style is a hybrid, also. It embodies the attitudes, practices, and behavior associated with McGregor's Theory Y, Blake and Mouton's “9,9,” Likert's System 4,

and Miles' Human Resources Approach. It also embodies many modern management concepts and behavioral principles found in other frames of reference. However, it is different from descriptions of other "high task, high people" approaches in at least two respects: (1) it includes very specific, innovative practices for developing subordinates, managers, and entire organizations; and (2) it embodies certain concepts associated with several contingency approaches to management and leadership.

We describe this style in considerable detail in the 21-page Appendix to this Part. First, we describe the attitudes that underlie and/or are associated with it. Second, we describe the integrative practices and interpersonal behavior involved. Our description of developmental practices is abbreviated in the Appendix.

In Part 4 we will explain why we think that the HT,HP approach can be somewhat more effective than other "one best style" approaches and can be considerably more effective than contingency approaches. In order to do so, however, we must first (a) describe the influences of non-personal socio-technical factors on managers' and leaders' attitudes and behavior (in Part 2); (b) describe the influences of managers' and leaders' personal characteristics on their attitudes and behavior (in Part 3); (c) describe our "synergistic approach for developing (immediate) subordinates" (in Part 4); and (d) describe our "synergistic approach for developing managers, leaders, and organizations" (in Part 5).

Table 4 on page 54 summarizes our descriptions of various managerial styles.

Other Recent Perspectives on Managerial and Leadership Behavior

Basing their concepts on many ideas that came before, more recent theorists have focused upon (a) relationships between good leadership and good management, (b) changing organizations and organizational styles, (c) more adaptive organizational structures, and (d) the development of managerial skills.

Adair

In the early 1990s, John Adair (Oxford Center for Management Studies) called for Action-Centered Leadership through Action-Centered Learning (ACL).⁸⁴ He believes the following:

1. People can be trained to be leaders.
2. There are relationships between leadership and decision making, communication, and time management.
3. Leadership should be defined in terms of three overlapping circles: task; team; and individual.
4. Leadership functions include planning, initiating, controlling, supporting, informing, and evaluating.

Handy

From the mid-1970s to the present, Charles Handy (MIT Sloan School of Management and then London Business School) has developed concepts involving trends in corporate cultures and structures, leadership, and change.⁸⁵

With respect to trends, he detects an increasing shift from lifetime employment in a single company to "portfolio work," which is less secure but more fulfilling ("job enrichment for managers"). He also sees the evolution of new organizational forms—such as the "shamrock company," which consists of a core of essential staff flanked by contracted specialists and part-time employees. Another of his organizational concepts is the "Triple I" (information, intelligence, ideas), in which managers will be required to rise to the challenge of managing "knowledge workers" (individuals having very different aspirations from hierarchy-conscious personnel of the past).

Handy asserts that effective management requires bold managerial decision making and action. With respect to the decision-making aspects of management, he is a proponent of "upside-down thinking," which involves looking at situations in new ("non-linear" or "lateral") ways.⁸⁶

Kotter

John Kotter (Harvard Business School) asserts that many companies are overmanaged and underled.⁸⁷ He has emphasized the need for more leadership in organizations—especially leadership of change. He maintains that today's organizations need strong leaders in order to change the environment, but also need strong managers in order to cope with complexity.

Kotter has also pointed out that, with the advent of team management, skills once thought needed only by top executives are now increasingly needed by middle and lower managers—and even by their personnel.⁸⁸

Table 4: Summary Comparison of Five Distinctive Managerial and Leadership Styles

MANAGERIAL TARGET ^R ORIENTATIONS	High Task, High People	Low Task, High People	Medium Task, Medium People	Low Task, Low People	High Task, High People
COMMON NAMES OR DESCRIPTIONS	Authoritarian Traditional, Hard Directive/Controlling	Permissive Soft Laissez Faire	Middle Road Firm-but-Fair Consultive	Non-Managerial	Participative, Team Synergistic
OTHER NAMES General					
Blake and Mouton	9,1	1,9	5,5	1,1	9,9
McGregor	Theory X	(Soft)	(Middle Road)		Theory Y
Likert	System 1 (to System 2)		System 3		System 4
O'Brien	High Assertiveness, Low Responsiveness	Low Assertiveness, High Responsiveness	Medium Assertiveness, Medium Responsiveness	Low Assertiveness, Low Responsiveness	High Assertiveness, High Responsiveness
Atkins	Controlling - Taking	Supporting - Giving	Conserving - Holding		Adapting - Dealing
McManus Geier	Dominance	Steadiness		Compliance	Influence
Merrill-Reid	Driver	Amiable	[Analytical]		Expressive
Conflict Management					
Zoll	Domination	Suppression	Compromise	Evasion	Synergistic
Hall	Win - Lose	Yield - Lose	Compromise	Lose - Leave	Dominant - Warm
Thomas-Killmann	Competing	Accommodating	Compromising	Avoiding	Collaborating
Simpson	Power	Suppression	Compromise	Denial	Integration
Performance Evaluation					
Lefton	Dominant - Hostile	Submissive - Warm		Submissive - Hostile	Dominant - Warm
GENERAL BEHAVIOR	director/controller, commander, dominator, driver, controller, taker, competitor, utilitarian, results seeker, attacker, disciplinarian, blamer	"country-clubber," pleaser, supporter, giver, accommodator, suppressor, yielder	compromiser, balancer, performer, workaholic	avoider, isolationist	thinker, communicator, achiever, developer, team-builder, integrator, positive stroker, confronter, influencer
	superior, self-centered, aggressive, hostile, exploitative; dreads failure, avoids defeat	warm, submissive, amiable, responsive, insecure, dependent, affiliative, benevolent, associative, protective	consultive, changeable; anxious about criticism and censure	apathetic, indecisive, evasive, pessimistic, compliant, submissive; fears rejection, avoids separation & hopelessness	self-actualized, optimistic, realistic, self-assured, assertive, responsive, supportive, expressive

What Emphasizes or Attempts to Maximize	Productivity	Satisfaction	Balance/Compromise between Productivity and Satisfaction	Comfortable Atmosphere for Self	Productivity and Satisfaction (through Participation and Development)
Significant Underlying Personal Traits ↓	Ego; High Economic and Political Values; Low People-Related Values	High People-Related Values; Low Economic and Political Values		(varies)	Mature balance between selfish and selfless orientations
Attitudes about Self and Subordinates in terms of [Ego States] and Life Positions ("I'm OK, You're OK") ↓	[Parent] I'm OK, but you're not OK (or are not as OK as I am).	[Child] You're OK, I'm not OK (or Am I OK)?	[Somewhat Adult] We're both pretty much OK, but I may be a little more OK than you.	People who help me or don't bother me are "OK." The rest are "not OK" or don't matter.	[Adult] I'm OK and you're OK, but we can all become better and do better with help from each other.
Socio-Technical Factors Analyzes or Considers ↓	Considers only Task-Related and Organizational Factors	Considers mostly Individual and Social Factors	Analyzes mostly Task-Related and Organizational Factors, but also considers Individual and Social Factors to some extent	Only thinks about personal situation when trying to maintain the comfortable, worry-free atmosphere has established for self	Analyzes all variables: Task-Related, Individual, Social, Organizational, and Outside/External
What Integrates ↓	Mostly integrates Tasks with Tasks ("mechanics" of the operation)	Mostly integrates People with People (social interactions and atmosphere)	Integrates both Tasks and People to a balanced (medium or average) degree	if anything	Integrates Tasks with Tasks, People with their Tasks, and People with People (people with the organization)
Basic Approach ↓	Boss-Centered Direction and Control	Subordinate-Centered Autonomy	Compromise/Balance between Boss- and Subordinate-Centered	No approach (stays out of the way)	Team-Centered (with boss-guided participation of subordinates in integrative functions)
What "Runs" or Manages	"Runs" what can see (tasks and people's activities).	"Runs" what can feel or sense (people's emotions and interactions).	"Runs"/manages tasks, activities, and some interactions.	Does not "run" or manage much of anything.	Manages what can see (tasks, activities, interactions), what cannot see (thinking processes, attitudes, needs), and what can feel or sense (emotions).
Behavior in terms of The Golden Rule	Does to subordinates (directs and controls them) so that they will not make (boss-embarrassing) mistakes.	Does well (is nice) to subordinates, so that they will like and do well to (be friends with) him or her.	Does pretty much OK by everyone (organization and people).	Doesn't do much to or for anyone, so that no one will bother him/her.	Does to subordinates as would have own boss do to him/her (or perhaps better, as subordinates would have done to them).

Lawler

Edward E. Lawler (U.S.C. Center for Effective Organizations) is among contemporary theorists and practitioners who are pushing for employee “empowerment,” which he prefers to call “high performance involvement.”

Lawler, who has written on motivation, pay, and reward systems since the early 1970s,⁸⁹ espouses moving power, knowledge, information, and rewards downward in an organization. He acknowledges that it is difficult for managers to give up authority, and that it is also difficult for employees to translate their greater authority into increased productivity. To facilitate these changes, he says, change the whole organizational system in these and other possible ways:

- a. create small (customer-oriented) business units;
- b. flatten the organization (by eliminating levels of management);
- c. redesign work systems (reengineer processes); and
- d. create self-managing teams that can (a) schedule production, (b) reject products not meeting quality standards, and (c) work together to earn performance bonuses.

Kanter

Rosabeth Moss Kanter (Harvard Business School) has focused her work on how to manage organizational changes involving empowerment and the development of the post-entrepreneurial corporation.⁹⁰

According to Kanter, the post-entrepreneurial corporation is lean and flexible, with fewer management levels. It is able to do more with less. It can anticipate change. It is open to opportunities (such as strategic alliances with other companies). It attempts to achieve synergies in its relationships with suppliers, partners, distributors, and customers. It uses empowering strategies (of participative management) that are necessary to flatten hierarchies, decentralize authority, and create autonomous work groups.

She recommends that managers develop these seven essential skills:⁹¹

1. Learn to operate without the “hierarchy crutch.”
2. Know how to compete in ways that enhance (not undercut) cooperation.
3. Operate to the highest ethical standards.
4. Possess a dose of humility.
5. Develop a process focus on how things are done.
6. Be multifaceted and ambidextrous, working across functions to find synergies.
7. Be able to gain satisfaction from results and be willing to stake your own rewards on them.

Pascale

Richard T. Pascale (Stanford University) emphasizes using conflict creatively in organizations.⁹² In his view, the ultimate and largely ignored task of managers is creating and breaking paradigms.

According to Pascale, success in organizations breeds failure unless there is some internal system that constantly encourages debate—even contention and conflict—and leads to a process of continued renewal. He asserts that the best firms link their purposes and ways of achieving them to human values as well as to economic measures like profit and efficiency.

Concluding Comments

Many theories and concepts have been offered over the years. Some are so significant as to be timeless. Many others are important and still relevant. Some have been discarded in favor of others. No single theorist has the “whole answer.” Whatever “the answer” is, it must be some integration of many thoughts and observations on management, leadership, and how to maximize the development, performance, and satisfaction of managers and workers alike.

Here we have tried to pull together and integrate much of what those before us have already done. We encourage others to pick up where we have left off and carry the quest for a better answer the next steps further.

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APPENDIX

The High Task, High People Style

Individuals whose motives and attitudes are highly task- and people-oriented can be called “Theory Y,” “High Task, High People,” or “9,9” managers. Those who are highly task- and people-oriented, and who also behave in the highly participative, developmental manner that we will be describing, can be called “Synergistic managers.” Such managers or leaders are developed, not born. Very few fit their description, although some approach it in terms of their attitudes, integrative practices, and interpersonal behavior. Their style, which in our opinion is the most enlightened and effective of all styles, is a “bull’s eye” at which all managers and leaders can aim.

Before presenting our description of this style, we should point out that it is considerably more detailed than Douglas McGregor’s⁹² initial description of Theory Y. It includes the following: (a) attitudes and behavior identified by McGregor; (b) attitudes and behavior identified by others⁹³ as they have subsequently interpreted and expanded upon McGregor’s concept; (c) attitudes and behavior that have been found to be useful for alleviating problems associated with earlier, sometimes less than fully effective attempts to implement a Theory Y, participative approach; (d) attitudes and behavior that we have identified in the process of interpreting the scope, intent, and spirit of the Theory Y concept as it relates to integrative functions; and (e) participative/developmental practices that involve situational management, but are couched within the context of the HT,HP or participative style.

In effect, we have attempted to formulate a very comprehensive, detailed, and somewhat innovative description that synthesizes many principles of effective management. Managers and leaders can use this description as a prescriptive guide for developing functional attitudes and applying effective integrative practices within the context of Raymond Miles’ Human Resources Approach and the spirit and intent of McGregor’s Theory Y style.

In also calling this the “synergistic style,” we sometimes emphasize McGregor’s contribution by underlining the “Y.” The integrative, developmental, and situational management practices we have added fall within the context, scope, and intent of the Theory Y style as envisioned by McGregor.

Associated, Underlying Attitudes and Views

Attitudes About Subordinates

My subordinates are in the organization to accomplish various tasks and contribute to the achievement of organizational objectives.

They have developable potentials that enable them to attain a high degree of technical, functional, or professional expertise and to grow in terms of their integrative and interpersonal attitudes and capabilities. Their potentials can be developed through encouragement, training, and guidance, which will enable them to assume greater responsibility, to perform more challenging tasks, and to be more self-directing, self-coordinating, and self-controlling. They all possess the inner motivation to want to develop their capabilities, to contribute something significant, to order and control their own work lives, and to exercise more initiative, responsibility, and creativity. If it seems as though some may not want to accomplish these things, their inner motivation can be released, increased, and made more apparent by encouraging and enabling them to do so.

Positive use of Herzberg’s maintenance factors contributes to my subordinates’ satisfaction, but does not really motivate them. They are motivated from within by the fulfillment they derive from interesting and meaningful work that provides opportunities to fulfill higher-level needs for achievement, competence, recognition, responsibility, and personal growth.

My people tend to perform to the level of expectations they place on themselves, not necessarily the level of expectations others may place on them. Also, they will strive harder to achieve organizational objectives if those objectives have been formulated so that my subordinates will be striving to fulfill their own needs and aspirations at the same time.

In short, my subordinates are valuable human resources, whose inner motivation can be released and whose poten-

tials can be more fully developed and tapped. As such, they are worthy of my respect, confidence, and personal attention. I should treat them as I would like to be treated by my own boss. Better yet, I should treat them as *they* would like to be treated.

Attitudes About One's Role and Oneself

I am responsible for my unit's contribution to organizational objectives. To be most effective, I must obtain the best possible task- and people-related results. This requires emphasizing productivity for the sake of people as well as for the sake of productivity, and emphasizing people for the sake of productivity as well as for the sake of people. It also requires working both with and through my subordinates to maximize their development, performance, and satisfaction. In addition, it requires managing not only what I can see (tasks and work activities), but also what I cannot see (what is going on inside people emotionally and mentally as they are being influenced by many factors operating within and upon the organization).

My main role is to develop an efficient, effective team, on which my subordinates and I all work together, each making the fullest and best contribution we can to goal-setting, planning, implementation, control, and problem-solving processes. To perform my major role effectively, I must be a thinker, communicator, developer, and team-builder. I must give my subordinates opportunities to help improve the many task-related, individual, organizational, social, and outside factors or variables that influence individual and team development, performance, and satisfaction.

Perhaps I can sum it up as follows, borrowing from Hallmark Card's motto, "When you care enough to send the very best":

I must care enough (about myself, my subordinates, our responsibilities, and the organization)—and be capable enough—to develop the best (in terms of attitudes and capabilities that will enable us to perform effectively both individually and as a team), to provide the best (in terms of fulfilling jobs and working conditions), and to expect the best (in terms of individual and team development and performance). I cannot ask for and expect the best unless I develop and provide the best.

I am in control of myself, my life, and my job. I am self-aware, self-respecting, self-confident, active, and a seeker of responsibilities and opportunities. I can take pride in my

professionalism and my ability to work with and through others. I am an OK person, but can constantly develop and improve myself—and actually do.

If I am to be an effective HT,HP, synergistic manager, I must keep in mind that my own ego is a two-edged sword. On one hand, my ego is responsible for my self-confidence and my pride in my professionalism. On the other hand, however, it can also be responsible for my believing that (a) I know everything; (b) I have all the answers; (c) what I think is right; (d) I am more OK than my subordinates; and (e) I can come up with better solutions and decisions than my subordinates. Attitudes such as these are probably the greatest obstacles to personal development, effective interpersonal relations, and one's ability to establish a "high task, high people," participative atmosphere. Because I am human and cannot know it all or always be right, I must control my own ego and remind myself that other people have egos, too. I must also remind myself that my subordinates know things that I do not know, and that we will be able to perform better both individually and as a team if we put our heads together. If I do not keep these things in mind, I will (a) tend to lapse into consultive or even authoritarian behavior, and (b) have difficulty establishing the rapport with my subordinates that is necessary for making the synergistic style work.

Attitudes Toward Change (and Improvement)

Things are constantly changing, so change must be expected. In fact, since the status quo stagnates organizations and people, change is actually necessary. It is always possible, though sometimes difficult, to improve things. Change should be oriented toward improvement. Indeed, improvement should be a goal as well as a means for maximizing subordinates' performance and satisfaction. Changes that are intended to improve my unit should be well-conceived, thoroughly planned, and methodically implemented—rather than being short-sighted, shoot-from-the-hip reactions to everyday problems. Changes that are caused by uncontrollable factors or forces should be anticipated and planned for to the extent possible.

One must be flexible in order to manage change effectively. Being flexible does not mean being wishy-washy or indecisive. Instead, it means being open-minded and inclined to look at goal-setting, planning, performance evaluation, and problem-solving situations as opportunities to improve things.

Subordinates will accept any particular change more readily, will commit themselves to it more deeply, and will implement it more effectively if they have participated in (a) identifying the need for it, (b) formulating it, and (c) planning its implementation.

Attitudes Toward Power and Authority

Using power is one means of influencing subordinates' behavior. Exercising the authority of one's position in order to get things done through subordinates is a legitimate use of power, as long as one does not exceed legal, organizational, or socially accepted limits. Regardless of its legitimacy, however, the use of *position-based power* stifles subordinates' initiative, sense of self-worth, sense of control over their own lives, and fulfillment on the job. In doing so, it creates resentment, antagonism, and resistance. This is especially true when positional power or authority is used heavy-handedly. Even when it is used even-handedly, it tends to distort communications and relationships with subordinates.

Applying *personal influence* in a non-manipulative manner is a much better means of influencing subordinates' behavior. Whereas personal influence can stem from one's personality or from one's expertise, it is strongest and most effective when it stems from both. *Expertise-based and personality-based personal influence* is accorded by subordinates when one has earned their respect, trust, and friendship. One can earn their respect, trust, and friendship by (a) demonstrating integrative and technical, functional, or professional competence; (b) setting a good example; (c) being open, honest, concerned for others, and supportive; and (d) developing functional interpersonal relationships. Naturally, the greater the expertise one demonstrates, the better the example one sets, and the more functional the manner in which one behaves toward others, the greater the (total) personal influence one is likely to earn. By earning expertise- and personality-based personal influence and not using it to manipulate my subordinates, and by behaving in a participative, developmental manner, I am more readily accepted and followed by my subordinates. As a result, I rarely if ever need to exert my position-based authority in order to get things done. Thus, instead of bringing about the undesirable consequences that others bring about by exerting their position-based power, I am able to establish and maintain team relationships that are conducive to maximizing my subordinates' development, performance, and satisfaction.

Views Regarding Integrative Responsibilities in General

Activities such as analyzing a situation, setting goals, planning, budgeting, organizing, staffing, guiding activity, evaluating performance, and solving problems are important integrative activities. They are necessary for getting tasks accomplished through people effectively and for making efficient use of all available resources (including human resources). When these integrative activities are performed more or less in the sequence above, they constitute an "integrative" or "managerial" process. While each activity is important, thoroughly analyzing the situation (either operations in general or a particular problem) is probably most important. How well a situation is analyzed largely determines the effectiveness of goals established, the efficiency and effectiveness of plans, the appropriateness of decisions, how well a unit is organized and staffed, the effectiveness of performance evaluation, and the effectiveness of solutions.

The thought-oriented integrative activities include: analyzing a situation; formulating alternative goals, plans, budgets, policies, procedures, or solutions; and making a decision (choosing among the alternatives). Organizing, staffing, guiding activity, and measuring performance are essentially a matter of implementing planned activities and procedures.

Traditionally, performing the thought-oriented integrative activities—especially decision making—has been considered the responsibility of managers or leaders only. As in the traditional sense, I am ultimately responsible for the performance of integrative activities involving my unit. But I must think of my subordinates in a nontraditional manner—as co-integrators or co-managers. It is my job to encourage and guide my subordinates' participation in analytic, formulative, and decision-making phases of integrative activities affecting the unit as a whole, my subordinates' jobs, and my subordinates. It is also my job to guide (rather than personally direct and control) the implementation of whatever is decided by the members of "our team" (including myself).

Traditional, authoritarian managers have used integrative activities simply to integrate tasks with tasks. This approach tends to create both people- and task-related problems in an organization. A more effective, synergistic way of managing is to integrate tasks with tasks, people with their tasks, and people with people. This cannot be done effectively without involving subordinates in the analytic,

formulative, and decision-making aspects of integrative functions.

This does not mean that I should call all of my immediate subordinates together to participate with me in making every decision. However, it does mean that my immediate subordinates and I must stop at some point in time and do the following participatively:

1. analyze our operations in real depth;
2. formulate goals, plans, budget, policies, and procedures for the unit as a whole;
3. translate these into guideline goals, plans, budgets, policies, and procedures for each sub-unit;
4. determine which individual or group should be making which decisions, solving which types of problems, or otherwise making integrative decisions—and then incorporate the assignment of these responsibilities and the delegation of appropriate decision-making authority into the individuals' job descriptions; and
5. establish guideline procedures and criteria for determining which individual or group should deal with other problem-solving and decision-making situations that may arise.

This process helps us to sort out which problems and decisions should be handled by me, by individual subordinates, by various groups of subordinates, by me and various groups of subordinates, and by me and all my (immediate) subordinates.

For several reasons, my subordinates' participation in integrative activities enables them to perform with an increasingly high level of efficiency and effectiveness both individually and as a team:

- A. It develops their integrative and interpersonal capabilities, and, to some extent, their technical, functional, or professional capabilities.
- B. It also taps their developing capabilities. It enables them to contribute more of their valuable knowledge and experience to integrative activities. This not only makes them feel more useful and important, but also improves the quality of goals, strategies, programs, schedules, budgets, policies, procedures, evaluations, and solutions.
- C. It develops their capabilities for guiding their subordinates' participation in integrative activities at the sub-unit level.

- D. It provides my subordinates with a first-hand knowledge and understanding of the what, why, by whom, when, and how of something that is to be done. This enables them to be more self-directing, self-coordinating, and self-controlling.
- E. It enables my subordinates to incorporate their own feelings, opinions, needs, goals, and expectations into unit goals, plans, solutions, policies, and procedures. This increases their acceptance of and commitment to them, their motivation to achieve or implement them, and their on-the-job fulfillment through them.
- F. It makes their jobs more interesting, challenging, fulfilling, and intrinsically motivating.
- G. It contributes to the development and maintenance of team attitudes and working relationships.
- H. It enables subordinates to participate in dealing with the task-related, individual, organizational, social, and outside factors or forces that influence their development, performance, and satisfaction. Put another way, it enables subordinates to participate in situational management.

When guiding my subordinates' participation in integrative processes such as goal setting, planning, and problem solving, I must emphasize that the best results can be achieved in both the short and the long term only if . . .

- a. all the important task-related, individual, organizational, social, and outside factors or variables involved are identified and thoroughly analyzed;
- b. alternatives are aimed at maximizing both task- and people-related results;
- c. alternatives are formulated within the context of long-term objectives and strategies as well as short-term goals and plans;
- d. the short- and long-term effects, the advantages, and the disadvantages of each alternative are anticipated, analyzed, and then compared with those of the other alternatives;
- e. use is made of all available (but pertinent) information, ideas, and suggestions during the analytic, formulative, and decision-making phases; and
- f. discussion is focused on determining "what is right" rather than "who is right."

Views About Goal Setting and Planning

Whether they involve the formulation of long-range objectives or short-term goals, goal-setting processes are extremely important. When properly formulated, goals represent clear and specific targets toward which activities can be aimed and resources can be channeled. Similarly, whether they involve the formulation of long-range strategies or short-term plans or programs, planning processes are extremely important. When properly formulated, the resulting strategies, programs, schedules, budgets, policies, and procedures constitute the ways and means for reaching objectives efficiently and effectively. Goal-setting and planning processes are also important because they enable my unit to cope with and to use change effectively. In fact, the ultimate objective of these processes should be the improvement of the many socio-technical variables that affect people's development, performance, and satisfaction. Goal-setting and planning processes are important for yet another reason: they represent opportunities to anticipate problems, to formulate preventive measures, and to incorporate preventive measures into plans. The more appropriate the goals set, and the more thorough and comprehensive the plans made initially, the fewer the time-consuming problems my unit will encounter, the more efficient its performance will be, and the more time I will have for developing my subordinates and guiding the improvement of operations.

I am the "linking pin" between the organizational levels above and below me. During annual goal-setting, planning, and budgeting processes within the organization, I should participate with my superior and colleagues to formulate guideline goals for my unit and other units at the same level as mine. Next, I should meet with my immediate subordinates as a group to translate guideline goals and plans from above into (a) more detailed and specific unit goals and plans, and (b) guideline goals and plans for each of the subunits managed/supervised by my immediate subordinates. Following the group session with all of my immediate subordinates, I should meet separately with each to formulate individualized development, performance, and satisfaction goals and plans. Through these participative processes, each immediate subordinate essentially contracts with me to commit himself or herself to the goals and plans we have formulated together.

With regard to goal-setting and planning processes that arise between formal annual, semiannual, quarterly, or monthly processes, decisions concerning who among myself and my immediate subordinates (and/or their subordi-

nates) will be involved should depend on consideration of criteria such as (a) who has been delegated authority to make or participate in making the decisions involved; (b) whose units or sub-units will be directly affected by the decision; (c) who will be personally (and directly) affected by the decision; and (d) who has necessary and pertinent input to the process.

During some situations—particularly life-threatening, emergency, or high stress situations—participative practices may have to be suspended in favor of individual direction, coordination, and control. Even so, participative practices can be used beforehand to deal with these situations. During participative goal-setting and planning processes, for example, my subordinates and I can anticipate such situations and formulate plans and procedures for dealing with them.

When analyzing a situation and formulating objectives, strategies, goals, or plans, the following guidelines should be kept in mind by the individual or group responsible for making final decisions:

- A. Short-term goals and plans should be formulated within the context of long-term objectives and strategies, otherwise they are likely to induce behavior that jeopardizes long-term interests.
- B. Specific unit, sub-unit, and individual goals and plans should be formulated for each of three major areas: development, performance, and satisfaction.
- C. Well-written goals state desired results in three terms: (1) an appropriate *parameter, criterion, or "performance measurement yardstick"* (e.g., number or dollar value of sales; units of output per hour; cost per unit of output; number of service calls; number of client cases processed; return on investment; hours of employee absenteeism; employee turnover rate; and training hours successfully completed by employees); (2) the desired *performance standard, level of results, or "benchmark on the yardstick"* (e.g., the specific number, dollar value, or percentage desired); and (3) the *time frame* in which results are to be achieved. Stating goals or objectives in terms of these three elements establishes the bases for subsequent measurement, comparison, and evaluation of actual unit, sub-unit, and individual results.

D. Task- and people-related results cannot be maximized in either the short term or the long term unless high standards regarding development, performance, and satisfaction are incorporated into unit, sub-unit, and individual goals. These “high standards” should be high enough to challenge people. If they offer too little challenge, people tend to achieve them too easily. The positive feedback they experience as a result of their easy success will not be especially gratifying and will do little to enhance their motivation and morale. On the other hand, “high standards” should not be so high that people cannot expect to achieve them even if they put forth maximum effort and use their capabilities to the fullest. People’s incentive to do their best is undermined if not destroyed by little expectation of achievement. Thus, high standards must reflect a rational balance between the degree of challenge and the probability of achievement, so that by doing their best, people have a reasonable chance of experiencing the meaningful positive feedback that increases fulfillment, morale, and motivation.

E. In addition to putting forth effort and applying capabilities, reaching a particular goal can also involve influencing (or attempting to influence) various task-related, individual, organizational, social, and outside variables. Nevertheless, people should not be given, be held responsible for, and be evaluated on any goal unless they can control or at least significantly influence the various factors involved in its achievement. If they cannot, and recognize that they cannot, they will not be motivated to do their best to reach the goal. In addition, they will probably resent being held responsible for and being evaluated on it.

F. During goal-setting processes, consideration must not only be given to challenges, probabilities of achievement, and abilities to influence factors involved, but must also be given to the relevance, compatibility (or synergy), priority, and number of goals. Confusion and inappropriate behavior are likely to result if the goals established (a) do not deal with the key elements (parameters) of people’s development, performance, and satisfaction; (b) are incompatible and elicit conflicting behavior patterns; (c) are not assigned appropriate priorities; (d) are too many and channel people’s efforts in too many directions; and/or (e) are too

few and channel people’s efforts in too few directions.

G. Plans should contain methods and procedures that people can use to monitor, measure, and evaluate team results and individual performance.

Views About Organizing, Delegating, and Staffing

Organization is a key to efficient, effective operations. Determining how to organize, to whom to assign which responsibilities, to whom to delegate what decision-making authority, and with whom to staff a unit are all integral parts of the planning process. Actually organizing and staffing a unit is a matter of implementing relevant plans.

In preparation for actually organizing my unit (and guiding the organization of its sub-units), I should involve my immediate subordinates in major analytic, goal-setting, and planning processes, during which we do the following:

1. Analyze task-related, individual, organizational, social, and outside variables—as well as any guidelines from above regarding organizational structure.
2. Identify the best possible organizational structure for dealing with factors such as technological and market changes and other organizational units. Also, identify on an organization chart (a) specialized units and sub-units; and (b) horizontal and vertical working relationships between specialized units (including reporting relationships, lines of authority, and channels of communication).
3. Identify key decision-making points within that structure, where responsibilities lie for making key decisions regarding the integration of specialized functions or activities.
4. Formulate job descriptions that (a) reflect the formal organization chart; (b) assign technical, functional, or professional responsibilities (tasks); (c) assign appropriate integrative responsibilities (such as which goals/plans to establish or to participate in establishing; which types of problems to solve or to participate in solving; and which policies and procedures to establish or to participate in establishing); and (d) specify (delegate)

authority either to make or to participate in making certain types of decisions.

5. Formulate practices, policies, and procedures that will help make the structure work. These should include guidelines for determining who will participate in solving problems and making decisions that are not already specified in job descriptions.
6. Formulate guidelines that my immediate subordinates can use to organize their sub-units (with their immediate subordinates' participation).

I follow the practice of fitting people to jobs rather than fitting jobs to people. During participative goal-setting and planning processes, my subordinates and I may determine that they are not yet ready to accept full responsibility for particular tasks, or to be delegated full authority to make certain integrative decisions. If either of us have reservations about their ability or motivation, I can say the following to a particular individual or group: "You should be performing this task or making this decision, because it falls within the scope of your job description(s). However, we both seem to recognize that you do not yet have the knowledge, skill, or experience to perform the task or make the decision as well as you should. So let's determine what you need to develop, what I can do to help, and how long it will take. Then we'll formulate and implement a developmental plan. As soon as we're both satisfied that you can handle the task or decision, I'll assign the responsibility or delegate the authority to you."

The formal, directive and controlling nature of a traditional (mechanistic) structure does not suit my purposes. Only the practices, policies, and procedures associated with a team, participative, or organic structure can maximize my subordinates' development, performance, and satisfaction.

The team structure involves the following:

- a. participative practices that incorporate integrative responsibilities (and authority) into subordinates' jobs, including considerable responsibility for making certain decisions and for directing, coordinating, and controlling their own activities;
- b. communication practices, policies, and procedures that encourage and enable each team member to exchange advice and information freely with other team members regarding integrative matters of mutual concern; and
- c. guidance of subordinates' individual and group

participation in designing elements of their job descriptions, working procedures, and working relationships.

Although I will do well to listen to the advice of others in the organization, I am ultimately responsible for selecting or hiring my immediate subordinates (with my superior's guidance). It is also my responsibility to guide my immediate subordinates' hiring or selection of their subordinates. First-rate managers select first-rate subordinates. Second-rate managers select third-rate subordinates—often in order to protect their own positions and influence. Being a first-rate manager, I should always try to select those who possess the highest levels of integrative, interpersonal, and technical capabilities (or potentials). If one of my subordinates is a poor performer, I may be more responsible than that individual. This is particularly true if I selected the individual in the first place, and then failed to develop and release his or her potentials.

Views About Problem Solving

A problem situation exists when something is obstructing the maximization of my subordinates' development, performance, and satisfaction, thereby also obstructing the achievement of unit and organizational objectives. Problem situations represent opportunities to improve things, not just to correct them. In fact, the ultimate objective of problem-solving processes should be the improvement of the many factors that affect people's development, performance, and satisfaction.

I should encourage and guide my (immediate) subordinates' participation in problem-solving processes. This does not mean that all of my immediate subordinates should be involved in all problem-solving processes. It does mean that they should (a) personally solve those problems for which individual decision-making authority has been delegated in their job descriptions; (b) participate in solving those problems for which group decision-making authority has been delegated in several team members' job descriptions; (c) personally solve those unusual or unanticipated problems for which predetermined guidelines indicate individual decision-making authority; (d) participate in solving those unusual or unanticipated problems for which guidelines indicate group decision-making authority (such as problem situations that directly involve or will directly affect them, and/or those problems for which they have important or pertinent input). Their more frequent participation in problem-solving processes will result in better

analyses, better solutions, more motivated and efficient implementation of solutions, greater and more effective self-direction and self-control, and further development of their problem-solving capabilities.

Once a problem situation has arisen, there are actually two problems to solve: (a) how to correct the undesirable effects (symptoms) involved in the situation; and (b) how to improve or change the underlying causal factors so as to prevent a similar situation from occurring later. Since “an ounce of prevention is worth a pound of cure,” potential problems should be anticipated to the extent possible during the planning process, so that preventive measures can be incorporated into plans. Effective planning is really the essence of preventive problem-solving. It may require considerable time initially, but it saves time in the long run by reducing the number of subsequent, time-consuming problem-solving situations.

Once goals and plans have been established, my subordinates and I should constantly evaluate what is going on and why, so that problems can be identified and solved as quickly as possible. Since my subordinates often have more information than I do concerning what is going on and why, I must pay attention to their opinions about what they see as being problems.

Problems will not disappear if they are either disregarded or poorly “solved.” Instead, they will grow, surface more frequently, and cause even more problems over time.

There is no single cause for any problem situation. Problem situations are generally caused by many factors either working together or operating independently at the same time. This makes the analytic phase of problem solving extremely important, just as it is extremely important to other thought-oriented integrative activities. If all the actual, important, underlying causative factors are not identified and analyzed, then the best alternative solutions will not be formulated, chosen, and implemented. Since solutions normally contain all the elements of goals and plans, consideration must be given to the challenges, probabilities of achievement, abilities to influence relevant factors, and key elements that are involved.

Views Regarding Conflict Management

People and organizations are not perfect, so conflicts are bound to occur. Organizational and interpersonal conflicts are problems, since they interfere with people’s perform-

ance and satisfaction. Being problems, they present opportunities to determine what is going on, why, and how to improve the situation.

A breakdown in communication can be both a symptom and a cause of interpersonal conflicts. The real, underlying causes, however, are usually differences between individuals’ needs, values, interests, goals, personality traits, knowledge, experience, and opinions. These differences tend to result in conflicts of wills and egos. Other important causes of conflicts include poor organizational practices, dysfunctional social pressures, and differences between the characteristics of people’s tasks (e.g., differences between skill requirements, organizational status, and time orientations).

The best way to manage conflict within an organization (or unit) is to prevent or alleviate it by constantly improving the task-related, individual, organizational, social, and outside factors that influence subordinates’ working relationships. This can mean, for example, developing subordinates’ interpersonal skills and fostering an atmosphere of mutual understanding, respect, trust, and cooperation—a team atmosphere.

When conflicts do arise, they should be brought out into the open and resolved. If they are suppressed or ignored and are left simmering beneath the surface, they will grow and later erupt, often causing more serious problems for everyone. I must encourage my subordinates to confront and resolve their own interpersonal conflicts. I can enable them to do so by guiding the development of their interpersonal attitudes and skills and by helping them to understand the causes of their conflicts (many of which are no one’s fault).

Views Regarding Guidance (vs. Direction and Control)

Truly effective management of human resources is not a matter of simply directing and controlling subordinates’ activities with one’s own decisions, instructions, or orders. Instead, it is a matter of providing subordinates with guidance (advice and information) that will enable them to do the following: (a) improve their performance of technical, functional, or professional tasks; (b) participate effectively in and contribute significantly to integrative processes; and (c) exercise greater, more efficient and effective self-direction, self-coordination, and self-control. One’s encouragement and guidance of subordinates’ participation in the

integration of their activities can maximize their development, performance, and satisfaction. One's personal direction and control cannot.

Subordinates' participation in the analytic, formulative, and decision-making phases of goal-setting, planning, and problem-solving processes provides them with the motivation and information that they need in order to be more self-directing and self-coordinating. It also provides them with the informational and procedural inputs that they need in order to be more self-controlling—that is, to monitor, measure, evaluate, and improve their own performance. Once goals, plans, solutions, decisions, policies, and procedures have been established, a manager should guide rather than direct and control subordinates' implementation of them.

If one is just beginning to apply participative, developmental practices in order to establish a team atmosphere within a unit, one must recognize and deal with the fact that subordinates may not yet be able to participate in integrative processes, to exercise greater self-direction and self-control, or to perform technical/functional tasks as efficiently and effectively as the full development of their potentials (capabilities and motivation) would allow. This does not mean that one must exercise a high degree of direction and control initially, and then, as subordinates' potentials are developed and released, reduce one's direction and control. It does mean that, particularly in the short term, one must (a) provide as much training or instruction in the above areas as possible; (b) encourage subordinates' increased participation, self-direction, and self-control; and (c) supplement subordinates' initial training and experience with substantial amounts of integrative and operational advice and information. As subordinates' potentials are developed and released, one can commensurately reduce the amounts of training, instruction, advice, and information that one has been providing to them.

My encouragement and guidance of subordinates' increased participation, self-direction, and self-control will be more effective and will not be perceived as being directive and controlling if I earn and apply expertise- and personality-based personal influence instead of exerting my position-based authority. Even during life-threatening, emergency, or high stress situations, which can require individual direction and coordination of activities, I will not be seen as being directive and controlling if I coordinate the implementation of plans and procedures that my subordinates and I have already formulated together.

The word "discipline" has taken on a negative connotation, largely because it has become associated with punitive authoritarian practices. Nevertheless, discipline—especially self-discipline—is necessary if a team is to work together efficiently and effectively. Most people learn self-discipline or self-control by being disciplined by parents, teachers, other adults, and even peers. One way of teaching self-discipline is to punish someone for behaving in an inappropriate or undesirable manner. A better way is to (a) bring the behavior to the individual's attention (privately); (b) discuss the effects on other people involved and the consequences for the individual; (c) describe how the person should have behaved; and (d) exercise reasonable consequences or sanctions. If my subordinates and I perceive that members of the team ought to develop greater self-discipline, we should (a) identify the behavior that team members should be able to expect from each other; (b) discuss the adverse effects of nonconformant behavior on the team; and (c) formulate reasonable sanctions that team members can apply to anyone whose behavior does not meet the group's expectations.

Views Regarding Communication

All communications should contribute to the improvement of individual and unit performance, development, and satisfaction. First, they should get quality information to anyone who needs it. Second, they should convey ideas, suggestions, and opinions to anyone who can use them. Third, they should contribute to an atmosphere of mutual respect, trust, and cooperation, thereby strengthening working relationships among team members. Communications will serve all these purposes effectively if they are open, honest, accurate, understandable, timely, and complete yet concise. Each of my subordinates has information, ideas, and opinions that can help others perform their tasks more effectively. I must therefore encourage my subordinates to be open and honest when communicating to me whatever pertinent information, opinions, and feelings they may have. I must also encourage them to do the same among themselves as they handle matters affecting their jobs, their interpersonal relationships, and the integration of activities within and among their sub-units.

If I am to set a good example, my communications to subordinates must be open and honest, too. In addition, they should contain mostly advice and information rather than decisions, instructions, or orders—except perhaps in emergency or high stress situations. The advice, insights, opinions, information, and guiding suggestions that I com-

municate to my subordinates will not be mistakenly perceived as directions or orders if I (a) offer them in an informative, supportive, congenial, nonthreatening, non-condescending manner, and (b) demonstrate to my subordinates that my intent is to help them any way I can to maximize their development, performance, and satisfaction.

Communications between any two individuals are subject to some misinterpretation and misunderstanding. In general, this is due to (a) differences between the sender's and receiver's motives, attitudes, knowledge, and experience; and/or (b) inadequate development of their interpersonal sensitivity and communicative skills. I have a responsibility to my subordinates to encourage and guide the development of whatever knowledge, attitudes, or skills they may need in order to communicate more effectively. I also have a responsibility to be an effective communicator on both a professional and personal basis. This means that I must acquire the knowledge, attitudes, sensitivity, and skills required to be a good sender and a good receiver.

Views Regarding Performance Evaluation

The object of control is essentially to correct and improve conditions (factors) affecting the efficiency and effectiveness with which plans are being implemented and goals are being achieved. Control activities include monitoring operations, measuring results, and, most important, evaluating results and analyzing the factors that brought them about. But before results can be measured and evaluated effectively, it is first necessary to establish specific goals. Each goal statement should include three elements: a performance measurement parameter or criterion (yardstick); the desired standard or level of results (benchmark on the yardstick); and the time frame for achieving the desired results.

Some managers only evaluate task-related results, mostly because either they or their organizations are only concerned about output or productivity. Really good managers, however, must encourage and guide the formulation of goals and plans that deal with people's development and satisfaction as well as performance.

People's actual levels of performance, development, and satisfaction are the results of many task- and people-related attitudes, interactions, and activities within the unit and the entire organization. These attitudes, activities, and interactions, in turn, are either caused or influenced by many specific task-related, individual, organizational, social, and

outside factors or forces, all operating with and upon each other as a system.

Effective evaluation first involves comparing actual results with intended or desired results (goals) in the areas of performance, development, and satisfaction. It then involves analyzing unfavorable results (problem areas) and backtracking through sequences of causes and effects to determine what has occurred and why, so that factors that influence people's performance, development, and satisfaction can be improved. Even favorable results should be analyzed in this manner, because there may still be unidentified problems to solve and unrecognized opportunities to improve things. Effective evaluation also involves analyzing the methods, procedures, and criteria being used to measure and evaluate units' results and individuals' performance. If inappropriate, these can cause performance problems, measurement and evaluation difficulties, or even inappropriate conclusions regarding results.

Constant evaluation of my entire unit's performance, development, and satisfaction—with my subordinates' participation—is necessary if both they and I are to identify and solve problems and are constantly to improve unit performance and satisfaction. In addition, if I am to guide the development of my subordinates' attitudes and capabilities, I must constantly evaluate their individual performance, development, and satisfaction. I must also keep in mind that *by doing so, I am largely evaluating the results of my own performance.*

If my subordinates are to contribute to the improvement of their capabilities, attitudes, performance, and satisfaction on a continual basis, I must do several things. First, I must encourage and guide their participation in unit and personal goal-setting and planning processes, so that they will acquire the necessary informational inputs first-hand. Second, I must encourage their constant evaluation of their own performance, development, and satisfaction. Third, I must meet regularly with individual subordinates to evaluate and discuss their performance, developmental progress, and fulfillment on the job.

The evaluation of unit, sub-unit, and individual results must be approached in an objective, constructive, positive, and fair manner. It must never be used by anyone to find fault with, place blame on, or punish another, which usually does more harm than good.

People learn from both positive and negative feedback. The term "negative feedback," however, has taken on a

negative connotation, largely because it has become associated with punitive authoritarian practices. Perhaps a better term would be “constructive” or “developmental” feedback. Whatever it is called, negative feedback signals to a person that he or she may need to alter behavior or to develop skills further. Many managers hesitate to offer “constructive feedback,” often because they think that they will appear to be critical or will damage their relationships with subordinates. But they are not really doing their subordinates a favor. Without being told that they are doing something inappropriate, subordinates (a) tend to assume they are doing something right; (b) continue to do it; (c) develop a habit that becomes increasingly difficult to break; and (d) probably irritate others to the point that someone eventually overreacts. Therefore, while I should do all I can to maximize positive feedback to my subordinates, I should not hesitate to give them constructive feedback—in an honest, timely, informative, supportive, congenial, non-threatening, noncondescending manner. To foster a rapport with subordinates that will help me do this, I should set a good example by (a) acknowledging my own mistakes and shortcomings to them, and (b) asking them to give me honest feedback about my behavior toward them.

Views About Developing Subordinates

My subordinates have potentials in terms of their capabilities and inner motivation. Developing and releasing their potentials, both with and through their participation, increases and eventually maximizes their performance and satisfaction. Development is therefore a key to establishing and maintaining an HT,HP atmosphere. My responsibility involves encouraging and guiding my subordinates’ recognition, development, and use of all their potentials. This responsibility is a tremendous challenge. To meet it successfully, I must first acquire the necessary attitudes, knowledge, and skills.

Developing subordinates’ technical, functional, or professional capabilities is very important. My unit and organization definitely need these capabilities. Developing subordinates’ integrative (managerial) and interpersonal potentials is equally important. These potentials are assets that, once developed, can significantly increase subordinates’ contribution and worth to the organization in both the short and the long term. It is also important to develop and release subordinates’ inner motivation. Maximized inner motivation results in maximized effort and personal involvement on the job.

Effective, comprehensive development of subordinates’ potentials enables them to (a) be more technically, functionally, or professionally proficient; (b) shoulder more difficult and challenging tasks; (c) meet more challenging performance standards; (d) contribute more to integrative processes and their improvement; (e) assume greater responsibility for self-direction, self-coordination, and self-control; (f) exercise more initiative and creativity; (g) work together more efficiently and effectively; and (h) perform better both individually and as a team (with greater individual and team satisfaction and morale). It would be unfair and counterproductive to expect subordinates to do any of the above without adequately developing, improving, or releasing the capabilities, attitudes, and inner motivation that they need.

Certain performance-related inputs can be improved rather quickly, easily, effectively, and measurably through formal and informal training. Subordinates’ specialized technical, functional, or professional knowledge and skills, for example, can be developed through formal training sessions and on-the-job training programs. Similarly, their understanding of integrative processes and procedures and their knowledge of analytic frames of reference (such as the socio-technical systems behavior model) can be improved through formal training and can be reinforced and further developed through guided participation in integrative processes. The same applies to their understanding and appreciation of Theory Y attitudes and synergistic managerial and leadership practices. Their knowledge of co-workers’ jobs can be developed by enabling them to exchange technical information and advice and by making available to them training in each other’s specialties.

Certain very important performance-related inputs, however, generally are more difficult and take more time to improve (with less easily measured and evaluated results). These include ways of learning, thinking (approaching problems, processing information, and making decisions), and communicating, which, in many people, are relatively underdeveloped skills that have become poor habits. They also include individuals’ attitudes—attitudes regarding, for example, themselves, other people, their relationships with others, how to cope with everyday life, and how to manage or lead. Improving these inputs usually involves helping subordinates to unlearn old habits and attitudes and to form better ones in their place. This can take considerable time and effort. More important, however, it requires a manager’s personal involvement. Although formal training sessions can contribute to the development of more functional attitudes and improved mental skills, they cannot be completely relied upon to do so. The manager himself or herself

is the only person in a position to provide the day-by-day example, encouragement, guidance, and reinforcement necessary to bring about a significant and permanent improvement in the attitudes and mental skills of subordinates.

Two additional, equally important types of characteristics—values and personality traits—must be included among the performance-related inputs that generally are more difficult and take more time to improve. These characteristics are important because they influence subordinates' task- and people-related behavior to a great extent, thereby greatly affecting their managerial or supervisory and technical, functional, or professional performance.

Unlike all the performance-related inputs previously mentioned, however, values and personality traits are not characteristics that managers have an easily justified, automatic right to try to change. Organizations and their personnel usually discourage such attempts for several reasons. First, these characteristics are widely acknowledged to be the most personal, private characteristics involved in people's identities, individuality, and lifestyles. Attempts to "improve" them, therefore, are usually regarded as infringements on personal rights and freedoms. Second, it is not always clear which levels of these characteristics are most functional for performing any particular job most effectively. Third, it is generally acknowledged that most managers do not know how to bring about functional changes in the levels of these traits.

Nevertheless, a manager does have a right to (a) assess a subordinate's levels of various values and personality traits; (b) consider their influences on that subordinate's performance; and (c) guide the subordinate's work in a manner that accounts for strengths and weaknesses associated with these characteristics. If a manager has reason to believe that a subordinate's levels of certain values and personality traits are adversely affecting the subordinate's performance, the manager also has a right—even an obligation—to bring this to the subordinate's attention and to discuss the implications for his or her performance and career development. Subsequently, the manager has a right to encourage, guide, contribute to, and reinforce the subordinate's development of more functional values and personality traits *only if* the subordinate asks the manager to do so. When exercising any of these rights, the manager must be cautious and conscientious and should seek expert advice concerning behavior modification.

Giving subordinates opportunities to participate in integrative activities contributes directly to a more fulfilling

atmosphere that intensifies and releases their inner motivation. It also provides a manager with opportunities to help subordinates improve their attitudes, mental skills, and other personal characteristics. Guided participation is a vehicle for this type of development.

One's subordinates are individuals. They each have their own potentials. At any given time, they also have their own particular capabilities, attitudes, interests, goals, strengths, and weaknesses. This does not mean that all training must be conducted on an individual rather than group basis. Group development in integrative and interpersonal areas, for example, is just as desirable as individualized training in more specialized areas. It does mean, however, that subordinates' developmental progress must be guided in an individualized, systematic manner.

While a manager is responsible for guiding and contributing to subordinates' development, subordinates have a responsibility to put forth effort and make contributions of their own. Neither a manager nor subordinates, however, will be able to make effective contributions unless the manager works with each (immediate) subordinate individually to perform a six-step cycle of activity. Step 1 is to identify each subordinate's present capabilities and attitudes, present strengths and weaknesses, and developable potentials. This essentially involves analyzing the individual's performance and personal characteristics. Step 2 is to formulate developmental objectives for and with each (immediate) subordinate. Here consideration must be given not only to an individual's potentials, but also to his or her personal goals, to the capabilities required to do his or her job well, and to the future needs of the unit and organization. Step 3 is to formulate a development program for and with each (immediate) subordinate. Step 4 is to synthesize individuals' development goals and programs into overall unit goals and programs (with some training done on an individual basis and some done on a group basis). Step 5 is to implement individualized and group development programs. Step 6, which completes the recurring cycle and returns the process to Step 1, is to measure and evaluate individual and unit developmental progress, so that development objectives and plans can be updated.

Subordinates may not be receptive to personal development if insecurity, ego-defensiveness, and lack of self-honesty prevent them from recognizing that they can improve in certain areas and that personal development is in their best interest. It is also a manager's responsibility, therefore, to provide an atmosphere in which subordinates' self-images and reputations can be strengthened, their ego

needs can be more fully satisfied, and their self-actualization needs can be intensified. Only the participative, developmental, HT,HP, team, or synergistic atmosphere enables subordinates to feel that “I’m an OK person, but I can and really want to improve—for my own good as well as the organization’s good.”

If one is just beginning to establish HT,HP attitudes and synergistic (participative/developmental) practices within a unit, one must recognize that subordinates may not yet have the fully developed potentials (capabilities, attitudes, and inner motivation) they need in order to (a) participate effectively in and contribute significantly to integrative processes; (b) exercise greater self-direction, self-coordination, self-control, initiative, and creativity; (c) perform unfamiliar or more difficult technical, functional, or professional tasks; or (d) meet more challenging performance and development goals. To deal effectively with this situation, a manager should put all the above thoughts into perspective and proceed as follows:

Phase I: Initial Orientation and Program Planning

1. Provide an initial orientation to Theory Y concepts and attitudes and to participative, synergistic practices, outlining the basic elements of an effective team development program.
2. Encourage and guide subordinates’ participation in (a) formulating unit and individual performance and satisfaction goals, (b) identifying individual and group development requirements, (c) formulating individual and group development goals (long- and short-term), and (d) formulating individual and group development programs (long- and short-term).

Phase II: Implementation of Team Development Program (Short Term)

Enable subordinates to participate in integrative processes with adequate effectiveness during the short

term, enable them to contribute to developmental activities, and implement developmental plans by providing the following to subordinates:

- a. any technical, functional, or professional training considered necessary/appropriate;
- b. initial, intense formal training in concepts, methods, procedures, attitudes, behavioral styles, and tools relating to effective management or leadership;
- c. opportunities to participate in integrative processes (opportunities to apply and reinforce developing integrative knowledge and skills);
- d. procedural guidance (information and advice) during group goal-setting, planning, problem-solving, and decision-making processes;
- e. operational (technical, functional, professional) information (or data) and advice;
- f. socio-emotional support (positive feedback, reassurance, support); and
- g. guidance of the development of mental faculties involved in learning, thinking, and communicating.

Phase III: Implementation of Team Development Program (Intermediate and Long Term)

As subordinates’ total (cumulative) development increases over time, reduce the amounts of inputs provided—commensurate with development plans and subordinates’ progress both as individuals and as a group—to relatively lower levels that will sustain, reinforce, and add to the total improvement of individuals and the team as a whole.

Checklist of High Task, High People Practices and Behavior Patterns

Basic Integrative Practices

- Encouraging and guiding subordinates' participation in the analytic, formulative, and decision-making aspects of thought-oriented integrative activities (goal setting, planning, evaluating results, and problem solving) that affect them as individuals and the unit as a whole.
- Involving (immediate) subordinates in sorting out which individual or group should be solving which problems and making which decisions.
- Giving subordinates greater responsibility for self-direction, self-coordination, and self-control, but offering any guidance (advice and information) that subordinates might need or request as they implement the plans, solutions, policies, and procedures established with their participation.
- Exchanging information, ideas, suggestions, and opinions with subordinates, particularly during participative goal-setting, planning, and problem-solving processes, but also during the implementation of plans, solutions, policies, and procedures.
- Guiding immediate subordinates' guidance of integrative activities within their sub-units.
- Using these and other participative, developmental practices to develop an effective team—a team on which all members can contribute their full potential, work together efficiently and effectively, and fulfill their own needs and goals as they strive to achieve organizational and unit objectives.
- Guiding the team's involvement in integrating tasks with tasks, people with their tasks, and people with people.

Basic Motivational Practices

- Contributing to subordinates' on-the-job satisfaction:
 - regularly evaluating maintenance factors such as organizational policies, wages/salaries, and work-

- ing conditions, seeking to improve them as appropriate; and
- using team-oriented participative, developmental practices to improve maintenance factors such as managerial or leadership practices and interpersonal relations within the unit.

- Contributing further to subordinates' fulfillment and unlocking their inner motivation by using job enrichment (job redesign and participative practices) to incorporate motivator factors into their jobs (to make their work more interesting and challenging, to develop and utilize their potentials, to give them more responsibility for their own activities, and to give them opportunities to exercise initiative and creativity, to achieve, to gain recognition, and to advance).
- Helping subordinates recognize where their self-interests lie, how these self-interests may be different from what they believe them to be, and how their self-interests relate to organizational objectives.

Basic Interpersonal Behavior

- Interacting frequently with subordinates both professionally and on a personal basis.
- Analyzing subordinates' motives, capabilities, and attitudes to increase one's understanding of and sensitivity to them.
- Demonstrating a consciousness of and consideration for subordinates' needs, feelings, goals, and expectations.
- Controlling one's emotions and consistently being understanding, reasonable, tolerant, and congenial in behavior toward subordinates.
- Using words like "we," "us," "you," and "let's" more than the word "I."
- Earning subordinates' respect and trust by . . .
 - treating each as a unique individual;
 - showing no favoritism;
 - acknowledging one's own mistakes and weaknesses;
 - constantly improving one's own knowledge, skills, attitudes, and other personal characteristics;

- o always setting a good example; and
 - o bringing individual subordinates' mistakes to their attention privately, tactfully, considerately, and constructively.
- O Helping subordinates feel free to express their ideas, suggestions, opinions, feelings, and complaints to one openly and honestly by . . .
- o expressing one's own to them openly and honestly;
 - o being easily approachable, even when one is under pressure;
 - o being willing to give sympathetic help on subordinates' personal problems;
 - o listening to subordinates and showing respect for what they have to say;
 - o seeking merit in subordinates' ideas, suggestions, and opinions, even though one may disagree with them;
 - o disagreeing without being disagreeable; and
 - o actually using good ideas and doing something about justifiable complaints within a reasonable amount of time.
- O Involving subordinates in identifying behavior that team members should be able to expect from each other, and then guiding the formulation of sanctions that the group can exert on those who do not live up to expectations.

Basic Communicative Behavior

- O Emphasizing that team members' communications should enhance performance, development, and satisfaction by getting quality information to anyone who needs it and by strengthening working relationships between team members.
- O Maintaining free-flowing, effective, two-way communication with subordinates.
- o Communicating to subordinates mostly advice and information that will help them perform their integrative and technical, functional, or professional responsibilities both efficiently and effectively.
 - o Offering advice (ideas, insights, opinions, and guiding suggestions) in an informative, supportive, congenial, nonthreatening, non-condescend-

ing manner (so that subordinates will accept one's advice in the intended spirit and will not mistakenly perceive it as an implied direction or order).

- o Very seldom issuing decisions, directions, or orders (except perhaps in life-threatening, emergency, or high stress situations that require individual coordination of participatively pre-planned activities).
 - o Expressing personal opinions and feelings openly and honestly.
 - o Keeping subordinates informed of the real situation, whether good or bad.
 - o Telling subordinates all that they might need or want to know (not just what one thinks they need to know).
 - o Making certain that what one means (and not just what one says) is understood by subordinates in order to minimize misunderstandings.
 - o Encouraging subordinates to communicate freely, openly, and honestly whatever pertinent ideas, information, suggestions, opinions, or feelings that they might have regarding matters at hand.
 - o Encouraging subordinates to give one accurate, reliable, timely information, whether pleasant or unpleasant.
 - o Paying attention to what subordinates have to say, even when one is under pressure.
 - o Making certain that one understands what subordinates really mean by what they say.
- O Encouraging subordinates to communicate freely, openly, and honestly with each other regarding task-related, integrative, and interpersonal matters of mutual concern.
- O Encouraging one's immediate subordinates to communicate with their subordinates using the same practices and behavior patterns outlined above.

Goal-Setting and Planning Practices and Behavior

- O Encouraging and guiding (immediate) subordinates' participation in goal-setting and planning activities of significant importance to the entire unit, to subordinates as individuals, or to the unit's sub-units.
- O Aiming all goal-setting and planning processes at improving the unit's development, performance, and satisfaction in an orderly, far-sighted manner.

- Promoting long-term and short-term goal-setting and planning on a unit, sub-unit, and individual basis.
 - Stressing that short- and intermediate-term goals and plans be formulated within the context of long-range objectives and strategies.
 - Promoting and guiding the use of effective analytic, formulative, and decision-making practices [some of which are listed in a special section below].
 - Guiding the translation of guideline goals (formulated at higher levels) into unit goals, and then guiding the translation of unit goals into guideline goals for each sub-unit.
 - Working individually with each immediate subordinate to formulate individualized performance, development, and satisfaction goals (based upon the goals of the unit and the immediate subordinate's sub-unit).
 - Stressing that unit, sub-unit, and individual goals . . .
 - be based on thorough analysis of task-related, organizational, individual, social, and outside factors that influence the functional and integrative activities of the unit and its sub-units;
 - each contain three elements: measurement parameter, standard or level of results, and time frame for achievement;
 - deal (separately) with each of three areas: performance, development, and satisfaction;
 - be compatible and not elicit conflicting behavior;
 - be assigned appropriate priorities;
 - contain standards that are high enough to be challenging, but reasonable enough to be attainable (if maximum effort is put forth and capabilities are used to the fullest);
 - must not hold people responsible for measurement and evaluation parameters that they cannot control or at least influence significantly; and
 - be neither too few nor too many in number (generally about five to seven).
 - Guiding the formulation of unit, sub-unit, and individual plans (strategies, programs or projects, schedules, budgets, and operating policies and procedures) that will enable one's unit, sub-units, and immediate subordinates to achieve their goals/objectives efficiently.
 - Promoting the anticipation of uncontrollable changes and possible problems, and then guiding the formulation of plans that deal with these contingencies to the extent possible.
 - Determining with immediate subordinates how one can help them meet the goals to which they are committing themselves (and not just sitting back to see if they will sink or swim).
 - Guiding the formulation of methods, policies, and procedures with which one and one's subordinates can control (monitor, measure, and evaluate) task- and people-related activities and results.
 - Encouraging and guiding subordinates' participation in formulating contingency plans or procedures, the implementation of which one might have to coordinate during emergency or high stress situations.
 - Promoting the use of goals and plans as flexible, improvable guidelines (rather than rigid directives).
 - Encouraging subordinates to venture in new directions and take the initiative in developing and acting on innovative ideas.
 - Helping subordinates relate their work-related goals and plans and their personal goals and plans to those of the unit and the organization.
 - Making certain that immediate subordinates understand and can agree to commit themselves to the work-related goals and plans that they have participated in formulating.
- Organizing, Delegating, and Staffing Practices and Behavior**
- Encouraging and guiding subordinates' participation in planning and establishing the unit's (team's) technical/functional and integrative structure.
 - Promoting and guiding the use of effective analytic, formulative, and decision-making practices (some of which are listed in a special section below).
 - Guiding immediate subordinates' participation in formulating their job descriptions, which should include

statements concerning the following: job objectives; technical, functional, or professional responsibilities (tasks); responsibilities for performing or participating in integrative activities at the unit and sub-unit levels; authority to make decisions regarding certain matters; authority to participate with others in making specific types of decisions; responsibilities involving self-direction, self-control, and coordination with other team members; guideline policies, methods, and procedures to be used in the performance of their jobs.

- O Developing an atmosphere in which team members are encouraged and enabled to exchange advice and information freely with each other regarding both technical/functional and integrative matters of mutual concern.
- O Developing individual subordinates' understanding of (a) the interrelationships and interdependencies existing between their own and others' jobs (in terms of material, service, and/or informational inputs and outputs), and (b) how everyone can and must work together as a team.
- O Not assigning responsibilities to subordinates without also giving them the authority they might need to carry out those responsibilities.
- O Helping subordinates find ways to make their technical, functional, or professional tasks more interesting and challenging.
- O Encouraging subordinates to devise new and better ways of performing their tasks, and then rewarding them appropriately for doing so.
- O Exercising one's responsibility for making decisions concerning the selection or hiring of one's immediate subordinates (but also considering any information and advice that superiors, colleagues, subordinates, and personnel specialists might be able to offer).
- O Trying to select or hire those who have the highest levels of integrative, interpersonal, and technical, functional, or professional capabilities and/or potentials.
- O Guiding immediate subordinates' selection or hiring of their immediate subordinates.
- O Concentrating on developing better capabilities and attitudes in poor performers and giving them a chance to improve (rather than simply firing them).

Problem-Solving Practices and Behavior

- O Encouraging and guiding subordinates' participation in identifying and solving problems involving the unit's performance, development, and satisfaction.
- O Encouraging and guiding all team members' use of the following problem identification practices:
 - o Constantly evaluating task- and people-related results (comparing actual results with results stated in goals or objectives) to identify unfavorable results and problem areas.
 - o Not assuming, if all results seem to be favorable, that there are no problems; instead, analyzing favorable results as well, looking for hidden problems and unrecognized opportunities to improve things.
- O Paying attention to subordinates' views about what they regard as being problems.
- O Promoting the use of problem situations as opportunities to improve the many socio-technical factors that affect the unit's performance, development, and satisfaction.
- O Involving in group problem-solving processes those subordinates (and possibly those individuals in other units or at other levels of the organization) who (a) are assigned (in their job descriptions) the responsibility and authority for making or participating in making the types of decisions involved; (b) might be concerned with or directly affected by the problem at hand; (c) might have a significant direct or indirect connection with factors that possibly could have caused it; (d) might have something significant to contribute to its solution; and/or (e) might be involved in or significantly affected by the implementation of solutions.
- O Concentrating on helping subordinates to solve problems and prevent their recurrence (rather than on trying to determine who might have been responsible, so that they can be punished or reprimanded).
- O Encouraging and guiding all team members' use of the following problem-solving practices:
 - o Attempting to identify and analyze all the important, underlying factors or variables that together could have caused the problem situation.

- o Asking oneself, “How might I have been at least partly responsible for this problem’s occurrence, and what must I do better in the future?”
- o Formulating two sets of solutions: (a) solutions aimed at correcting the undesirable effects that were produced by or are symptomatic of the problem situation; and (b) solutions aimed at correcting or improving the causal factors involved, so that a similar situation will be prevented from occurring in the future.
- o When formulating and choosing among alternative solutions, considering the challenges, abilities to influence relevant factors, and probabilities of successful implementation that are involved.
- o Using the additional analytic, formulative, and decision-making practices listed in the special section below.

Conflict Management Practices and Behavior

- O Striving to minimize conflicts by using practices that tend to prevent them:
 - o Constantly seeking to improve the various task-related, individual, social, organizational, and outside variables that can cause conflicts.
 - o Involving subordinates in identifying which individual or group should be responsible for performing which functions, solving which problems, and making which decisions, so that individuals and groups do not infringe on others’ responsibilities.
 - o Helping individuals and groups to understand how the differences between their jobs and/or personal characteristics can cause misunderstandings and ill feelings for which no one is really to blame.
 - o Improving the efficiency and effectiveness of the information system, so that the right information, materials, and/or services get from providers to users when they should.
 - o Involving team members in identifying the behavior that they should be able to expect from each other.
 - o Encouraging and guiding the development of subordinates’ interpersonal attitudes and capabilities (including interpersonal sensitivity and communicative skills).
 - o Developing and maintaining a team atmosphere—an atmosphere of mutual understanding, re-

- spect, trust, and cooperation among team members.
- o Encouraging team members to keep channels of communication open at all times.
- O Bringing interpersonal conflicts out into the open (rather than suppressing or ignoring them), so that they can be confronted and resolved.
- O Promoting subordinates’ perception of conflicts as opportunities to improve interpersonal relationships and interactions.
- O Encouraging those who are involved in interpersonal conflicts to confront and resolve them themselves (using their more fully developed interpersonal sensitivity, understanding, and skills).
- O When necessary, helping those involved to identify the sources of their differences, to understand them, and to deal effectively with them.
- O Promoting and guiding the use of the analytic, formulative, and decision-making practices listed in the next section.

Additional Analytic, Formulative, and Decision-Making Practices and Behavior

(Common to Goal-Setting, Planning, Performance Evaluation, and Problem-Solving Activities)

- O Thoroughly performing each phase of the analytic approach before going on to the next: (a) analyzing the situation; (b) formulating alternatives (e.g., goals, plans, budgets, solutions, policies, procedures); (c) comparing alternatives and deciding which to implement.
- O Using all available but pertinent information, ideas, opinions, and suggestions during each of the three phases.
- O During each phase, focusing on determining “what’s right” rather than “who’s right.”
- O Attempting to identify all the important task-related, individual, organizational, social, and outside factors that could be involved in the situation or matter at hand.

- O Analyzing the factors/variables involved to determine how they relate to each other as a system (e.g., which factors affect or lead to which (in some cause and effect sequence); which factors are essentially symptoms and which are the real, not-so-obvious, underlying causes).
- O Making frequent use of diagrams or models to illustrate various factors, their relationships, and the facts that correspond to the factors and their relationships (so as to be able to handle the details and complexities that one's mind cannot handle without the help of visual aids).
- O Using each new goal-setting, planning, decision-making, and problem-solving situation to (a) identify previously unrecognized or more specific factors that affect operations; (b) identify previously unrecognized or more specific relationships among factors; and (c) add these factors and their relationships to operational/behavioral models.
- O Formulating alternative courses of action (solutions, plans) for dealing with and improving each of the major factors or causes involved in a situation or matter under consideration.
- O Formulating alternatives aimed at maximizing both task- and people-related results.
- O Formulating alternatives within the context of long-range objectives and strategies and/or short-term goals and plans (as appropriate).
- O Anticipating, analyzing, and then comparing the short- and long-term effects (consequences), the advantages, and the disadvantages of each alternative in the process of making a final decision as to which alternative(s) to use.
- O Choosing a group or "system" of alternatives that deals most effectively and efficiently with the system of causal or significant factors/variables involved.

Guidance Practices and Behavior

- O Minimizing personal direction and control of subordinates' activities.
 - o Encouraging subordinates to be more self-direct-

ing, self-coordinating, and self-controlling (and incorporating these responsibilities into their job descriptions).

- o Enabling subordinates to be more self-directing and self-coordinating by involving them in integrative processes, so that they can acquire the necessary, first-hand, in-depth understanding of goals, plans, solutions, policies, and procedures.
 - o Enabling subordinates to be more self-controlling by involving them in integrative processes, so that they can acquire the necessary first-hand understanding of applicable performance measurement and evaluation criteria, methods, and procedures.
 - o Guiding (rather than directing and controlling) subordinates' implementation of plans, solutions, policies, and procedures by giving them any additional advice and information that they might request or that one might think necessary.
- O Earning and using expertise- and personality-based personal influence (rather than exercising one's position-based power or authority), so that one's encouragement and guidance of subordinates will be most effective.
 - O If necessary during life-threatening, emergency, or high stress situations, coordinating subordinates' implementation of the contingency plans and procedures that they themselves have participated in formulating.

Performance Evaluation Practices and Behavior

- O Constantly evaluating (analyzing) the performance, development, and satisfaction of one's unit, immediate subordinates, and sub-units.
- O Aiming one's evaluation activities at developing an in-depth understand of what has occurred (or is occurring) and why, so that one can identify problems and guide the improvement of factors affecting the unit's performance, development, and satisfaction.
- O Helping subordinates understand what has occurred (or is occurring) and why, so that they can constantly contribute to the identification of problems and the improvement of individual and team results.
 - o Encouraging and guiding subordinates' participation in regular evaluation (analysis) of unit results.

- o Evaluating individual performance, development, and satisfaction with each immediate subordinate, privately and regularly (e.g., informally on a day-to-day (as appropriate) basis; formally at least several times a year).
 - o Encouraging subordinates to evaluate their own performance, development, and satisfaction on a constant basis, and helping them to obtain the information (data, feedback) necessary to do so.
- O Promoting and guiding the use of an evaluation process that involves the following principles and activities:
- o Comparing actual results with desired results (as stated in previously established goals, programs, schedules, budgets, solutions, policies, and procedures).
 - o Making certain that one understands what quantitative and qualitative performance parameters really indicate about results (rather than what they might seem to indicate).
 - o Avoiding making judgments; but if making them is either necessary or appropriate, doing so very rationally and fairly.
 - o Identifying favorable and unfavorable results.
 - o Considering the extent to which factors beyond an individual's or group's control might have exerted positive or negative influences on results, and then adjusting one's evaluation of results accordingly.
 - o Considering how one's own behavior might have influenced an individual's or group's performance, development, or satisfaction, and then adjusting one's evaluation of results accordingly.
 - o Considering how one's own motives, attitudes, knowledge, experience, and skills could be adversely influencing one's evaluation of results, and then adjusting one's evaluation accordingly.
 - o Not assuming that there are no problems to solve or improvements to make just because desired results have been achieved or surpassed.
 - o Seeking to identify the underlying task-related, individual, organizational, social, and outside factors that brought about or influenced favorable as well as unfavorable results (by identifying and analyzing the sequence or system of causes and effects).
 - o Identifying factors/variables affecting unit, individual, or sub-unit results that should be improved.
- o Determining which of these factors team members can control or at least influence, thereby identifying the factors they can improve (assuming that the necessary resources, which are also factors to be considered, are available).
 - o Evaluating (analyzing) the criteria, methods, and procedures that are being used to measure and evaluate results (in order to improve them and the manner in which they are being used).
 - o Bringing problems and possible areas of improvement to the appropriate individual's or group's attention.
- O Also doing the following when one is personally involved in the evaluation of an individual's or group's results (and encouraging subordinates to do the same with their subordinates):
- o Approaching evaluation processes in an objective, fair, positive, and constructive manner.
 - o Not using evaluation processes to find fault with, place blame on, or punish anyone.
 - o Expressing praise and appreciation to subordinates when one recognizes (through the evaluation process) that they have accomplished challenging tasks well.
 - o Accepting subordinates' mistakes, especially when they demonstrate that they have learned something from them.
 - o Giving "constructive feedback," indicating problem areas and making suggestions for improving behavior or performance.

Developmental Practices and Behavior

- O Encouraging and guiding the release of all the integrative, interpersonal, motivational, and technical, functional, or professional potentials of one's subordinates (thereby increasing one's confidence in them).
- O Aiming development activities at enabling subordinates to perform as efficiently and effectively as possible—both individually and as a team—and to experience as much satisfaction on the job as possible.
- O Refraining from assigning new or more challenging responsibilities to subordinates without adequately preparing them to handle those responsibilities (so that they can swim rather than sink and, therefore, experience positive rather than negative feedback).

- O Using several practices that are conducive to increasing subordinates' motivation to be willing, active participants in their individual and team development:
 - o Providing subordinates with an initial orientation to participative, developmental practices and their benefits to all concerned.
 - o Helping subordinates recognize that personal development is in their own best interests (because it leads to better performance and greater need fulfillment both on the job and in their personal lives).
 - o Consistently using participative, team-oriented practices that enable subordinates to feel that they are respected, trusted, useful, OK people (which strengthens their self-images and reputations, contributes to the adequate fulfillment of their ego needs, minimizes the ego-defensiveness that can prevent them from recognizing that they can improve, and also intensifies their self-actualization motives).

- O Enabling team members to contribute to their development in an insightful, systematic, effective manner.
 - o Working with individual subordinates to identify the attitudes, levels of specific capabilities, and levels of other characteristics that they need in order to perform their present responsibilities efficiently and effectively and to advance within the organization.
 - o Helping individual subordinates to identify their existing attitudes, motives, knowledge, experience, skills, skill levels, strengths, weaknesses, and potentials (partly through performance evaluation and partly through analysis and/or measurement of personal characteristics).
 - o Guiding individual subordinates' formulation of job descriptions that will make the best use of their strengths in the short term, but will also maximize the development of their potentials over time.
 - o Guiding individual subordinates' formulation of challenging but attainable short- and long-term development goals, and then guiding their translation of these goals into effective, individualized development programs that span both the short and the long term.
 - o Guiding subordinates' participation in formulating and establishing development goals and programs for the unit as a whole (by synthesizing individuals' goals and programs).

- O Contributing to the development of subordinates' potentials in accordance with individual and unit plans (programs).
 - o Providing both formal and on-the-job training aimed at improving subordinates' technical, functional, or professional knowledge and skills.
 - o Providing formal training aimed at increasing subordinates' knowledge and understanding of the following: (a) integrative functions, methods, and procedures; (b) analytic, formulative, and decision-making principles and procedures; (c) procedures for conducting and participating in group processes; (d) analytic frames of reference (or checklists) dealing with operational matters (such as production, marketing, or finance) and with human behavior in organizations; (e) functional interpersonal and managerial or leadership attitudes; (f) principles of effective communication; and (g) participative, "high task, high people," synergistic concepts and practices—and providing particularly intense training in these areas in the short term, so that subordinates can begin to participate in integrative processes with adequate effectiveness.
 - o Encouraging and guiding subordinates' participation in integrative processes in order to help them improve and reinforce—through actual practice and experience—their understanding of and ability to use the concepts, practices, and skills mentioned above.
 - o Also using participative, developmental, team-oriented practices to incorporate motivator factors into subordinates' jobs, thereby increasing and releasing their inner motivation.
 - o Always setting a good example—by using the participative/developmental (synergistic) practices and HT,HP behavior patterns that subordinates should be following, imitating, and learning.

- O Reducing the amounts of inputs one provides to sustaining levels as subordinates' capabilities, attitudes, and inner motivation approach targeted levels.

- O Encouraging immediate subordinates to do all of the above with and for their immediate subordinates, and guiding their efforts to do so. And constantly analyzing and improving one's own attitudes and capabilities, so that one can do all of the above successfully.

