Managerial and Leadership Behavior

Part 2

Non-Personal Influences

on

Managerial and Leadership Behavior

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R. D. Cecil and Company

Human Resources Development

PART II

Non-Personal Influences
on Managerial and Leadership Behavior

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PART II
External (Non-Personal) Influences on Managerial and Leadership Behavior

In Part I we described various ways in which managers and leaders can behave toward subordinates. In Parts II and III we will explore various reasons why managers and leaders tend to use particular managerial styles.

Behavior in every organization is influenced by a host of specific factors, variables, or inputs. According to the Socio-Technical Model originated by Eric Trist65 of London's Tavistock Institute, each causal or influential factor can be placed into one of five categories: (1) task-related factors—factors relating to the technical, functional, or professional aspects of personnel's jobs; (2) personnel's characteristics; (3) organizational variables; (4) social/interpersonal variables; and (5) factors or forces outside an organization. As shown at the left side of **Figure 1**, all these factors operate with and interact upon each other as a system, affecting personnel's attitudes, activities, and interactions in some way and to some degree. [A detailed checklist of these factors is presented in **Table 1** on page 2.]

The Socio-Technical Model can be applied to managerial behavior as well as to organizational behavior. **Figure 1** shows that the five categories of factors—and the attitudes, activities, and interactions they elicit in other personnel—are also influences on any particular manager's, leader's, or supervisor's behavior.

Since so many factors influence managerial behavior to a greater or lesser degree, no one factor can be considered the major influence. In fact, as acknowledged throughout Parts II and III, the influences of these factors often conflict. Some factors can be pushing a manager or leader toward the use of one particular style, while other factors are pushing him or her toward the use of one or more entirely different styles. Thus, it should be kept in mind that an individual's style actually reflects the *net effect* of all external and personal factors' influences. It should also be kept in mind that, as shown in **Figure 1**, a manager's or leader' behavior affects many of the same external (and personal) factors that influence his or her behavior.

Figure 1: The Manager or Leader in a Socio-Technical System

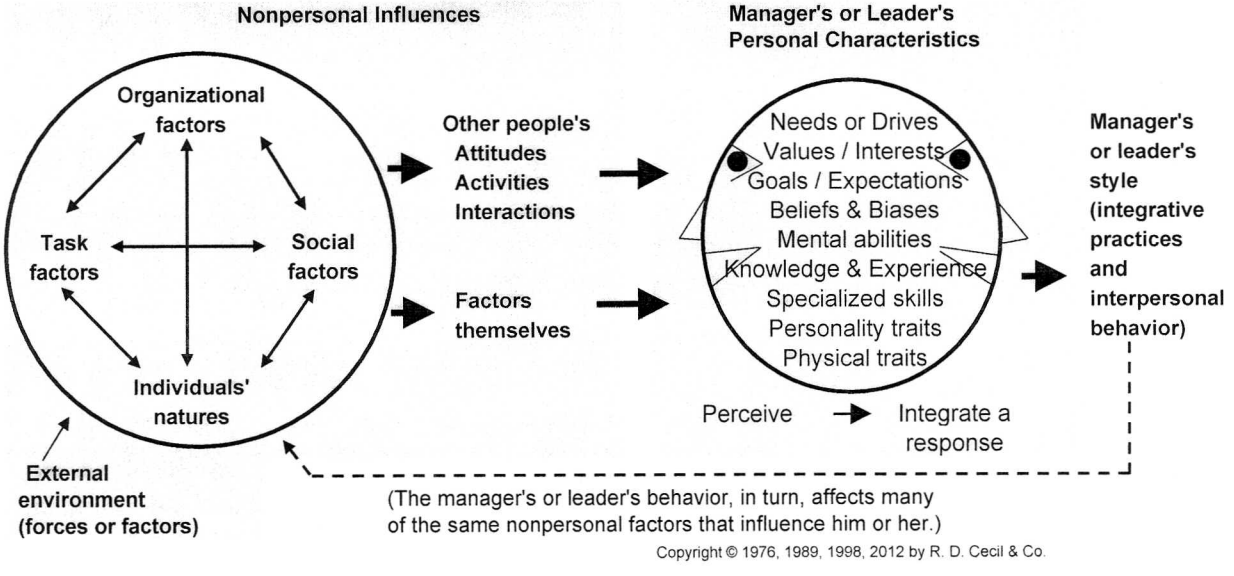


Table 1: Checklist of Socio-Technical Factors That Influence Organizational Behavior

TASK FACTORS
Job descriptions
- Objectives
- Activities
  - Technical or functional
  - Managerial / supervisory
    - Analyzing, goal setting
    - Planning, budgeting
    - Problem Solving
    - Decision making,
    - Organizing, staffing
    - Directing, coordinating
    - Reporting, evaluating
- Equipment or tools
- Material inputs and outputs
- Information inputs and outputs

Work load - work flow
Communication facilities
Working conditions
Task interrelationships
Technology
Job input requirements
- General or basic abilities
- Specialized skills
- Knowledge and experience
- Other behavior patterns

General natures
(Mechanistic or Organic)
- Complexity
- Variability
- Clarity of definition
- Amount of change
- Certainty of information
- Time to outputs or results
- Tangibility and measurability (of outputs or results)

ENVIRONMENTAL INPUTS
Business-oriented factors
- Customers; suppliers
- Competitors
- Industry associations
- Worker unions

Institutions
- Government agencies
- Religions
- Capital markets
- International institutions

People-oriented factors
- Families; peers
- General public, community
- Social norms and customs
- Religious affiliations
- Social & recreational groups
- Interest groups

Other
- Technology; economy
- Transportation facilities
- Nature, weather, energy
- Goods and services

INDIVIDUALS' CHARACTERISTICS
Motivators
- **Basic needs or drives**
  - Physiological, safety
  - Social, self-Image
  - Self-actualization
- **Values**
  - Intellectual, economic
  - Social, political
  - Aesthetic, religious
  - Practicality, achievement
  - Variety, goal-orientedness
  - Orderliness, decisiveness
  - Support, conformity
  - Recognition, independence
  - Benevolence, leadership
- **Interests (occupational)**
  - Mechanical, outdoor
  - Computational, scientific
  - Clerical, persuasive
  - Artistic, musical, literary
  - Social service
- **Goals and expectations**

Capabilities
- **Abilities**
  - Academic intelligence
  - Vocabulary, social Insight
  - Mechanical visualization
  - Mechanical intelligence
  - Clerical speed & accuracy
  - Physical coordination
  - Reading, communication
- **Specialized (job) skills**
- **Knowledge & experience**
- **Physical traits**

Personality traits
- Self-confidence
- Dominance, sociability
- Social conscientiousness
- Adaptability, maturity
- Original thinking, vigor
- Responsibility, self-control
- Emotional stability

SOCIAL VARIABLES
Group formation
- People's needs & drives
- Tasks' interdependence
- Proximity & work flow
- Frequency of interactions
- Members' characteristics
- Valued or shared traits

Intra-group relationships
- Group norms & customs
- Members' status & roles

Group maintenance
- Enforcing sanctions
- Conflict resolution
- Image reinforcement
- Membership norms

Sources/frequency of conflict
Interaction w/ other groups
Influence on organization

ORGANIZATIONAL INPUTS
History and traditions
Key elements of success
Objectives and strategies
Resources
Structures
- Key integrative points
- Key decision-making points
- Formal structure
  - Units or departments
  - Vertical relationships
  - Horizontal relationships
  - Levels and spans of control
- Informal structure

Policies, rules, procedures
- Formal
- Informal

Inter-unit interactions
- Sources of conflicts

Contacts with environment
Systems
- Information systems
- Control systems

Practices
- Performance evaluation
- Wages, salaries, benefits
- Hiring, selection, promotion
- Training and development

Natures of tasks
Natures of people
Managerial or leadership styles and practices
- Authority base (position vs. expertise)
- Formality to subordinates
- Nature of communications
  - Advice and information
  - Instructions and decisions
- Degree of control
- Specificity of subordinates' responsibilities & authority
- Conflict resolution
- Subordinates' participation:
  - Goal setting & planning
  - Problem solving
  - Decision making
  - Development of methods, procedures, policies
- Assumptions/facts about subordinates
- Task orientation
- People orientation

General nature of organization (mechanistic to organic)

In the first section of Part II we begin by describing the influences of the characteristics of subordinates' jobs. As we will see, these task-related factors largely influence the natures and behavior of people performing various jobs and the natures of various types of organizations. In the second section we discuss the influences of organizational variables such as superiors' styles, colleagues' styles, the nature of the organization, and organizational politics. In the third section we discuss the influences of social factors such as the norms (attitudes and behavioral expectations) of the various social groups with which a manager has contact. In the fourth section we discuss the influences of factors or forces outside an organization such as technology, markets, the economy, and the sociocultural attitudes and behavior patterns of various groups and individuals with whom a manager or leader has contact.

Later, in Part III, we will discuss personal influences on managerial behavior. In the first section of Part III we will discuss the influences of the manager's own personal characteristics, which can be placed in two categories—motive/attitudinal traits and capabilities. In the second section we will describe the influences of subordinates' characteristics (as perceived by the manager or leader). We discuss the influences of a manager's personal characteristics before discussing the influences of subordinates' characteristics because a manager's perceptions of subordinates are largely influenced by his or her own capabilities and motive/attitudinal traits.

Influences of the Characteristics of Subordinates' Jobs

Managerial behavior and organzitional structure are very closely related. Each affects the other. More important, both are usually influenced to a great extent by the characteristics of personnel's tasks. We will discuss the relationships, influences, and effects at some length, because a good understanding of them can help managers and leaders maximize their subordinates' development, performance, and satisfaction.

Developing our discussion step by step, we will (1) define tasks and jobs; (2) note the characteristics with which tasks and jobs can be described; (3) describe mechanistic and organic tasks and jobs in terms of their basic characteristics; (4) explain why a mechanistic (controlling) structure and a directive and controlling (Theory X) style tend to be used where jobs are mechanistic; (5) explain why a more organic (less controlling) structure and a less directive and controlling, more organic (more participative) style tend to be used where jobs are organic; (6) discuss early research findings regarding the effectiveness with which the two different types of jobs can be managed using the two different sets of structure and styles; (7) describe the Theory Y, participative, job-enriching approach to mechanistic jobs; and (8) point out several common obstacles to the use of a "High Task, High People," participative style.

Tasks and Jobs

Jobs are made up of one or more general but distinct tasks (activities or operations). General tasks, in turn, usually consist of a group or series of more finite tasks (basic work elements or specific sub-tasks).

Examples: A production supervisor's job might include general tasks such as scheduling work, training subordinates, solving problems, and helping subordinates drill holes in parts. Drilling a hole in a part, in turn, could involve basic work elements or more finite tasks such as the following: grasping a part; lifting it; carrying it to a work bench; grasping the drill; positioning the drill; pressing the trigger switch to start the drill; pushing the drill bit into the part; and pulling out the drill bit. Similarly, solving a problem generally involves the following subtasks: collecting information; analyzing information to determine the cause(s) of the problem situation; formulating alternative solutions; anticipating the possible outcomes or consequences of each alternative's implementation; comparing the anticipated outcomes, advantages, and disadvantages of the alternatives; choosing the most appropriate solution(s); and implementing the chosen solution(s). Even these subtasks can be broken down into more finite steps or tasks. For example, collecting information can involve these finite steps: determining what information to collect and what questions to ask; asking questions of people who are involved in the problem situation; and accumulating and organizing relevant data.

Characteristics of Tasks

Every task, whether general or finite, can be described in terms of levels or degrees of certain basic characteristics. These basic characteristics include:

complexity — from simple to complex;
definability/describability (in terms of objectives and procedures) — from easily and clearly definable to ambiguous;
variability (in the manner performed) — from routine and repetitious to varying;
amount of change (in objectives and in the methods, procedures, processes, equipment, materials, and information used) — from little change to frequent and unpredictable change;
certainty of information used — from certain to uncertain;
time span to output or results — from immediate outputs or results (in seconds or minutes) to later or longer-term results (in days, weeks, months, or years);
tangibility/measurability/evaluatability of the outputs or results — from tangible, relatively easy to measure and evaluate outputs or results to frequently intangible, difficult to measure and evaluate results.

Particular combinations of levels or degrees of these characteristics constitute the natures of various tasks. The nature of a general task, of course, is determined by the characteristics of the more finite tasks involved. Most tasks, whether general or more finite, are basically either mechanistic or organic in nature.

Mechanistic Tasks

A mechanistic task can be (a) an essentially physical task

that involves, for example, pushing, pulling, lifting, or carrying something; (b) an essentially manual task that involves, for example, using simple tools or equipment to perform a single operation (or simple series of operations) on an object of some sort; (c) a task involving the uncomplicated mental or machine processing of in-formation; or (d) a simple combination of physical, manual, and mental tasks.

Some examples of functional tasks having a mechanistic nature are: production tasks such as drilling a hole in an object or assembling two parts; maintenance tasks such as painting an object or servicing a simple machine; construction tasks such as hammering a nail or digging a hole; clerical tasks such as recording an item in a ledger or totalling a column of numbers with an adding machine; and secretarial tasks such as typing a memo or filing a report.

Whether these and other mechanistic tasks are general or finite, they have seven basic characteristics.

1. Mechanistic tasks are relatively simple. They require little if any original thought and the use of only a narrow range of basic physical, manual, and mental skills. Many do not require the worker to have an elementary education or any particular training.

2. Since their objectives and procedures can be easily and clearly defined, they themselves are easily and clearly definable (and specifiable or prescribable). Thus, it can be said of a mechanistic task before it is performed by someone, "Your task, having these specific objectives, is to be performed at a certain time, using these specific procedures and this particular tool, machine, or piece of equipment."

3. Since there is little or no variation in the procedures used each time mechanistic tasks are performed, they are routine. Because routine tasks are very often assigned to be performed repeatedly (for the sake of worker efficiency), they also tend to be repetitious.

4. Mechanistic tasks undergo little change in terms of their objectives and the methods, procedures, processes, equipment, materials, and types of information used.

5. Since most aspects of these tasks are unchanging (including the types of information used), and since the informational inputs to these (worker-level) tasks generally come from higher organizational levels rather than the unstable and changing environment outside the organization, information used is highly certain.

6. Inasmuch as the actual completion time of most mechanistic tasks is usually not much longer than seconds or minutes, these tasks produce immediate outputs or results. Many such tasks, however, can be performed repeatedly for hours; for example, performing a repetitive assembly line task, or brushing paint on a wall until the entire wall has been painted.

7. Since the inputs to these tasks are generally either objects, materials, or things containing information to be processed, their outputs or results (objects or services) are highly tangible. Tangible outputs or results are relatively easy to measure, count, inspect, and evaluate (by comparing them with performance standards or past results).

As a general rule, the simpler a task is (the fewer and more elementary the skills required, the less the original thought required, and the more easily it can be performed habitually or "mechanically"), and the more definable, routine, unchanging, and certain it is, the more mechanistic it tends to be.

Organic Tasks

Essentially, an organic task involves thinking (mentally processing information). The basic types of organic tasks are: analyzing or evaluating something; setting a goal; formulating a plan; formulating an innovative idea; making a decision; communicating information or an idea; and solving a problem. (Problem solving is a more general task in which most of the other basic tasks are subtasks.)

Most managers perform all of these basic organic tasks. Their performance of these tasks usually revolves around more general managerial functions such as organizing their units, staffing their units, integrating (coordinating) activities within and between units, budgeting and controlling the use of resources, and dealing with change. Because these more general tasks are normally composed of several basic organic tasks, they, too, are organic in nature.

Basic organic tasks are also performed by staff personnel such as systems analysts, organizational planners, marketing researchers and analysts, scientific researchers, and financial analysts and planners. Staff personnel's tasks, how-

ever, do not ordinarily involve making managerial decisions or controlling the implementation of goals, plans, solutions, and decisions aimed at the integration of activities within the organization.

Whether organic tasks are general or more basic (more finite), they have seven fundamental charac-teristics.

1. Organic tasks are relatively complex. They require a good deal of thought and the use of a wide range of mental capabilities (such as learning skills, knowledge, logic, social insight, judgment, and communicative and persuasive skills). Several aspects of these tasks are largely responsible for their complexity: (a) there are generally many factors of variables to be identified and considered (e.g., theories, concepts, task-related factors, people's characteristics, social factors, organizational variables, and forces or factors outside the organization); (b) there are many complex relationships among these factors to be identified and considered; and (c) there is much information concerning these factors and their relationships to be analyzed and otherwise mentally processed. The other six characteristics of organic tasks also contribute to their complexity.

2. Since it is usually necessary to determine at the beginning of an organic task what must be analyzed, planned, solved, or decided and which of the possible approaches or procedures is to be used, and since it is not known at the beginning of an organic task what the resulting goal, plan, solution, or decision will be, these tasks are ambiguous. This makes them much less subject to prior definition and prescription than mechanistic tasks.

3. Each of the basic types of organic tasks is varying. For example: Each particular problem-solving situation (task) differs from other problem-solving situations in most if not all of the following respects: the objectives involved; the approach used; the factors or variables considered; the information processed; and the resulting outputs (solutions). Goal-setting, planning, innovating, and decision-making situations vary in the same respects. The basic types of organic activities performed by managers are particularly varied in these respects. In fact, they vary in yet another respect: they arise in a more or less random order. This means that each type is not ordinarily performed repetitiously. A manager can be involved in a problem-solving task one moment, a decision-making task the next, a planning task the next —and so on.

4. These tasks are subject to frequent and often unpredictable change in methods, equipment, processes, and especially informational inputs. This is particularly true of the organic tasks performed by managers or leaders and staff personnel in functional areas such as marketing and scientific research. Tasks in these areas involve the use of information emanating from the changing, unstable environment outside an organization. For example: Information used in marketing tasks reflects frequent and often unpre-dictable changes in factors such as buyers' attitudes and purchasing habits, customers' problems, and competitors' strategies. Similarly, research tasks are affected by frequent and often unpredictable technology-related changes in methods, equipment, processes, theories, and data used.

5. Organic tasks generally involve processing relatively uncertain informational inputs. The outputs of organic tasks (analyses, goals, plans, solutions, innovations, decisions, and communications) are usually aimed at influencing someone's behavior and/or future events in some desired manner. To formulate these outputs, it is usually necessary to analyze information regarding past and present behavior or events and to draw useful conclusions about the underlying causes (factors or variables). But because the necessary information is not always available, because one does not always know whether or not available information is the latest, most accurate, and most reliable, because even the best information is subject to (mis)interpretation, and because causes are not always apparent and cannot always be determined accurately, much of the information considered and many of the conclusions reached are uncertain. Furthermore, before alternative goals, plans, or solutions can be compared in order to make a decision as to which alternative(s) to implement, it is first necessary to make projections concerning future events and the possible outcomes of implementing each alternative. But because projections into the future are based to a large extent upon uncertain information and conclusions regarding the past and present, and because anticipated outcomes or results can be altered by frequent and often unpredictable change, most of the projections considered are highly uncertain also.

Table 2: General Natures of Tasks

Characteristics	Mechanistic Tasks	Organic Tasks
Complexity	Simple (manual or physical)	Complex (thought-oriented)
Variability	Routine / Repetitious	Varying
Specificity of definition	Clearly and easily definable and prescribable in specific terms	Ambiguous
Amount of change	Unchanging	Frequent or unexpected change
Certainty of info used	Certain information	Uncertain information
Time span to outputs or results	Immediate outputs	Delayed results or effects
Tangibility/measurability of outputs or results	Output tangible, easy to measure and evaluate	Results or effects intangible, difficult to measure and evaluate

6. The results or effects of organic tasks generally occur less immmediately and over a longer period of time than the results of mechanistic tasks. This is mostly due to the several stages involved in organic tasks. First, outputs such as goals, plans, solutions, and decisions must be formulated. This stage can require hours—and may require days, weeks, months, or even years (as in the case of very large and complex planning and problem-solving projects). Second, many if not most organic tasks are not really complete and the desired results cannot be achieved until plans, solutions, innovations, or decisions have been successfully implemented or used. (In the case of mechanistic tasks, outputs are results; but in the case of organic tasks, outputs are means for achieving results.) The implementation stage can require additional hours, days, weeks, months, or even years. Third, even after the outputs of organic tasks have been fully implemented, it normally takes an additional period of days, weeks, months, and sometimes years (as in the case of capital investment decisions) for actual results or effects to occur and become fully apparent. Thus, the total elapsed time from the beginning of an organic task to its actual results can be quite long.

7. The results or effects of most organic tasks are relatively difficult to measure and evaluate. First, the results of most organic tasks appear in someone's behavior, which is often rather difficult to measure (and, therefore, is usually just interpreted). Second, results are also manifested in intangibles such as what people think and feel. Intangibles are even more difficult to measure and evaluate. Third, evaluating the effectiveness or desirability of results generally involves making difficult, unquantifiable value judgments. Fourth, although numerically expressed performance indicators (such as profits, revenues, costs, return on investment, and units of output) are normally used to measure and evaluate the results of very large and costly projects and the overall performance of individuals and units, they are not ordinarily used to measure and evaluate the results of most everyday organic tasks. This makes their measurement and evaluation especially difficult. Fifth, since the results of many specific organic tasks can overlap, sometimes complementing and sometimes conflicting with each other, it is generally very difficult to determine the degree to which a particular goal, plan, solution, or decision led to a particular result. Sixth, since organic tasks are varying, and since circumstances change from one moment to the next, it can be difficult (and may even be inappropriate) to compare the results of, say, two problem-solving tasks for the purpose of evaluating the results of one.

In general, the more complex a task is (the more mental abilities, thought, and concentration required), and the more ambiguous, changing, and uncertain it is, the more organic it tends to be. The different characteristics of mechanistic and organic tasks are summarized in **Table 2**.

Natures of Jobs

The nature of a job is determined by the natures of the tasks involved. Many jobs consist almost entirely of mechanistic tasks and are therefore very mechanistic. Some consist almost entirely of very organic jobs and are therefore very organic. Others fall somewhere between very mechanistic and very organic. (See **Figure 2** on page 11.)

Worker-level jobs in production, maintenance, construction, secretarial, clerical, and retail sales areas typically consist of the largest proportion of highly mechanistic tasks, and therefore fall within area M3 of Figure 2. Worker-level technicians' jobs (involving, for example, medical lab work, electrical systems and machine repair, and the operation of complex machines) are somewhat more technologically complex and typically fall within area M2. Although they are not typical, some worker-level jobs mostly involve mentally processing complex and/or uncertain information, solving complex problems, or dealing with complex technologies. These can fall into areas 01 through 05 (depending on the level of complexity or uncertainty involved). Most if not all worker-level jobs can be made somewhat less mechanistic (moved at least into areas M1 or M2) through managerial, leadership, and supervisory practices that make jobs more complex, varied, challenging, and fulfilling.

First-line supervisory jobs typically fall into area M1, because they include some responsibilities for planning, coordinating, problem solving, and decision making. Where supervisors participate in higher-level, more complex, more uncertain organic activities, their jobs can fall within areas M-O or 01. If their own and their subordinates' jobs mostly involve mentally processing complex and/or uncertain information, solving complex problems, or dealing with a complex technology, their jobs can fall into areas 01 through 05 (depending upon the level of complexity or uncertainty involved).

Non-retail salespersons' jobs typically fall within area M-O (between mechanistic and organic), but can fall into areas 01 through 05 when technologically complex products or services are being sold, or when the sales effort involves helping customers solve complex problems (again, the level depending on the degree of complexity involved).

Low-level staff jobs (in functional areas such as accounting, advertising, and engineering) typically fall within area M-O, but some can be more complex. Middle-level staff jobs (in functional areas such as marketing, finance, and production) typically fall within area 02, but some can be more complex. High-level staff jobs (involving, for example, market analysis, systems analysis, law, financial analysis and planning, and organizational planning) typically fall into area 04, but some can be even more organic.

In general, the higher a manager's or leader's level in an organization, the more complex, ambiguous, and uncertain the goal-setting, planning, problem-solving, decision-making, and other organic processes involved in his or her job, and the greater the proportion of organic tasks in the job. Thus, low-level managers' jobs (in functional areas such as sales, production, and accounting) typically fall into area 01. These jobs can be more organic if subordinates' jobs are more organic. Middle managers' jobs (in functional areas such as marketing, finance, and production) typically fall into area 03, but can be more organic if subordinates' jobs are more organic. High- and top-level managers' jobs typically fall into area 05, as do research scientists' jobs.

Having established this basic frame of reference, we can begin describing the influences of the characteristics of subordinates' jobs on managerial and supervisory behavior.

Influences of the Characteristics of Subordinates' Jobs on Managerial and Leadership Behavior

Because the characteristics of mechanistic and organic jobs are different, they exert different influences on the attitudes and mental processes of most managers, leaders, and supervisors. By influencing them differently, the two sets of characteristics tend to cause two different behavioral effects. In other words, when their subordinates' jobs are relatively mechanistic, most managers and leaders will tend to behave in one manner; but when their subordinates' jobs are relatively organic, most will tend to behave in a noticeably different manner.

Here we first describe the two different behavioral effects that we and others have observed. Then we explain how, in our judgment, each set of characteristics tends to bring about each effect.

We should point out that phrases such as "tends to be influenced," "tend to behave," and "tend to result" are used rather frequently in this section for the following reason: Although most managers and leaders will be influenced to behave in the ways described below, some will not. This is because (a) the influences of the characteristics of subordi-

nates' jobs can be overridden or altered by the influences of organizational, social, and outside factors yet to be discussed in Part II; and/or (b) some managers' and leaders' personal characteristics prevent them from being influenced to behave in the same way as most other managers.

Effects of Mechanistic Jobs' and Organic Jobs' Influences

The behavioral effects that tend to result from the influences of mechanistic and organic jobs can be described in two generalizations.

1. *Where groups of personnel perform essentially mechanistic jobs, their immediate superiors tend to be influenced to behave in a directive and controlling, mechanistic, or Theory X manner*.

This generalization applies most to typical first-line supervisors, because their (worker-level) subordinates' jobs are typically the most mechanistic. It also applies to low- and middle-level managers and leaders whose supervisory-level subordinates perform "essentially mechanistic" jobs because their worker-level subordinates perform very mechanistic jobs. What we have just said, in effect, is that *the influences of worker-level groups' jobs tend to filter upward into the organizational hierarchy*. Low- or middle-level managers' and leaders' behavior, however, tends to be somewhat less directive and controlling toward their supervisory subordinates than toward their worker-level subordinates. This is largely because the workers' jobs are more mechanistic.

2. *Where groups of personnel perform essentially organic jobs, their immediate superiors tend to be influenced to behave in a less directive and controlling, more organic, more Theory Y, or more consultive if not participative manner*.

This generalization applies most to typical high-level managers, because their immediate subordinates are professional staff personnel and middle- or upper-level managers who typically perform jobs that are almost as organic as their own. It also applies to the atypical first-line supervisors whose worker-level subordinates perform organic jobs. Since the influences of worker-level jobs tend to filter upward, it also applies to those low- or middle-level managers and leaders whose (atypical) supervisory subordinates supervise worker-level jobs that are essentially organic.

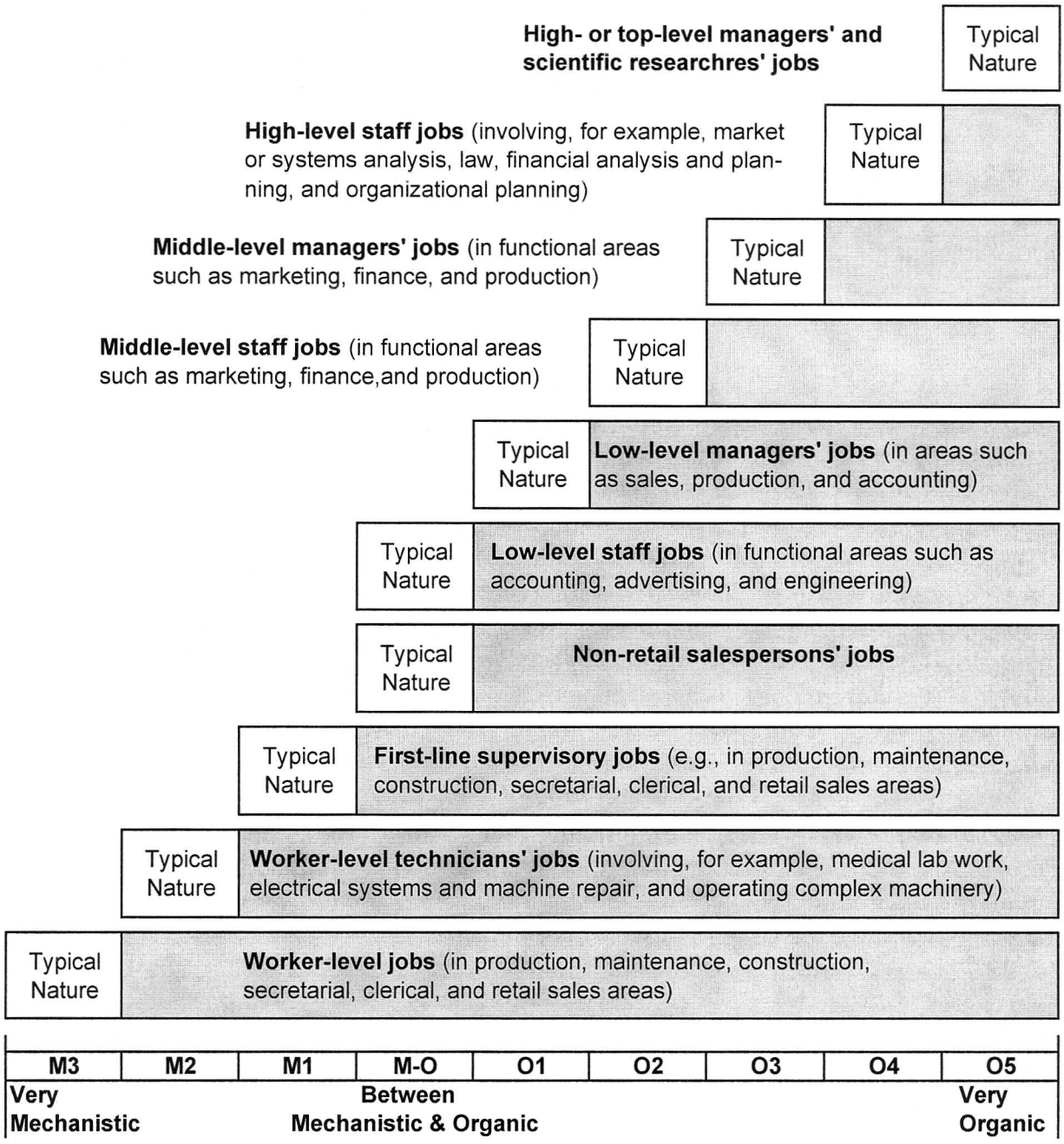
Several points that qualify and elaborate on these two generalizations should be mentioned.

First: We have worded these generalizations as though all personnel in a group at a given level perform jobs having the same nature. This is generally the case, inasmuch as most organizations are structured so that personnel performing very similar or related jobs are in the same unit and work for the same superior. There are, however, some groups in which some individuals perform essentially mechanistic jobs and some perform essentially organic jobs. In such a case there are mixed and conflicting influences on the behavior of the group's immediate superior. Several net effects are possible. The superior may (a) behave in a Theory X manner toward those who perform mechanistic jobs and in a less Theory X, more consultive if not participative manner toward those who perform more organic jobs; (b) behave toward all subordinates in a Theory X manner; or (c) behave toward all subordinates in a less Theory X, more consultive if not participative manner. Which of these net effects actually occurs can depend on factors such as how many in the group perform each type of job, how mechanistic and organic the jobs are, and other influential task-related, individ-ual, organizational, social, and outside factors discussed in Parts II and III.

Second: As mentioned, the influences of jobs of worker-level groups tend to affect attitudes and behavior in successively higher levels of management or leadership. This is largely because *managerial, leadership, and supervisory behavior in most organizations is geared or oriented to dealing with job activities and job characteristics at the worker level—the level where the work being performed is basic to the organization's existence and success*. In organizations where worker-level personnel perform essentially mechanistic jobs, high-level managers or leaders are not affected as much as low- or middle-level managers or leaders. This is mostly because (a) high-level superiors' immediate subordinates (managerial and staff personnel) perform jobs that are almost as organic as their own; and (b) high-level superiors are further removed from worker-level personnel. High-level superiors do, however, tend to be influenced to behave in a somewhat more directive and controlling manner toward all their subordinates than they would if worker-level groups were engaged in essentially organic jobs.

How these two general effects can be caused is described below. Our description of the influences of mechanistic jobs is focused more on typical first-line supervisors, because (a) they supervise the most mechanistic jobs, (b) the

Figure 2: Typical Natures of Jobs at Various Levels and in Various Functional Areas



* With a few exceptions, ambiguity, definability, variability, change, certainty of information, time span to outputs or results, and the measurability/evaluatability of outputs or results also increase.

influences are greatest on them, and (c) the resulting effect is more pronounced than at any other level. Our description of the influences of organic jobs is focused on typical high-level managers and leaders, because their immediate subordinates (managers and staff) perform jobs that are almost as organic as their own.

We will explain the influences of jobs' characteristics in some detail for two reasons. First, they are not always apparent to managers and leaders who are not looking for them. Second, when managers or leaders are aware of them, they are better able to control or to capitalize on them (whichever is most appropriate).

Two more points before we proceed: In general, the more mechanistic or organic a group's jobs, the greater the influences described below and the more likely the effects described above. It must be remembered, however, that although the influences described below are indeed operating, the effects described above do not always occur. Again, this is because the influences of jobs' characteristics are sometimes reduced, altered, or neutralized by the influences of other factors discussed in Parts II and III.

How Mechanistic Characteristics Tend to Elicit Theory X Behavior

In our judgment, mechanistic characteristics exert at least eight influences that tend to elicit directive and controlling, Theory X supervisory behavior. Of these eight influences, the first four are relatively direct and unrelated to organizational structure. The second four are more related to organizational structure and are more indirect.

Relatively Direct and
Structurally Unrelated Influences

Because of the simplicity, definability, routineness, repetitiousness, changelessness, and certainty of mechanistic jobs, and also because of the short time span to outputs or results, the visibility of job activities, and the tangibility of material inputs, equipment used, and outputs or results, the following phenomena tend to occur.

A. Supervisors can determine the following with relative ease and certainty: (a) what each of their subordinates should do; (b) when and how they should do it; (c) what and how much they should accomplish; (d) what and how much is actually being accomplished; (e) whether or not jobs are being performed properly (in the prescribed manner); (f) the probable causes of problems; and (g) whether or not any supervisory action is necessary.

   These conditions enable supervisors to (a) prescribe task assignments very explicitly; (b) schedule, direct, coordinate, and monitor subordinates' activities; (c) evaluate activities, results, and problems; and (d) initiate corrective action—all with ease, certainty, and, therefore, self-confidence. Since they can direct and control subordinates' activities rather easily and self-confidently, they can easily be inclined to be directive and controlling.

B. Many supervisors do not need much more technical expertise than their subordinates. This is particularly true of supervisors whose subordinates perform very mechanistic jobs that are technically or functionally very similar. In addition, because mechanistic jobs can be supervised (directed and controlled) rather easily, many supervisors are not required to have much supervisory expertise. This is particularly true of supervisors whose superiors make most decisions and promulgate job descriptions, work procedures, output objectives, work schedules, and solutions to their units' problems.

   Since expertise earns subordinates' respect and trust, it is one source of supervisory (or managerial and leadership) influence or power. Position is another source. If supervisors' expertise-based influence is relatively low (as is often the case), they will probably have to resort to using their position-based authority to get things done. Exercising the power or authority of one's position is characteristic of the Theory X style.

C. Mechanistic jobs are usually very dull, monotonous, unchallenging, and, therefore, unfulfilling. When subordinates derive little satisfaction from the work itself, they tend to turn their energies toward more fulfilling but less productive activities such as socializing and daydreaming. They also tend to become rather uncooperative. Not recognizing that unfulfilling work is actually causing uncooperativeness and a seeming lack of motivation, supervisors can easily be prompted to monitor workers' activities closely and to use positive and negative stimulators as "motivators." In fact, their inclination to behave in this Theory X manner can be increased if they

view subordinates' nonproductive and uncooperative behavior as either a personal affront or an affront to their positional authority.

D. Traditionally, Theory X views have been held about personnel who perform mechanistic jobs, need use only a narrow range of basic skills, have relatively low status in organizations, and do not seem to be motivated on the job. Even today, *many managers , leaders, and supervisors mistakenly associate the natures of workers with the natures of their mechanistic jobs, and, therefore, view workers as "machines" or "tools of production*." Supervisors' views, however, are generally less extreme than those of higher-level superiors, partly because those at higher levels tend to be more structurally, socio-economically, and physically removed from worker personnel. As pointed out in Part I, *Theory X views lead to the use of the Theory X style (rather than to the HT,HP style, which enables subordinates to develop, use, and display their potentials*).

Relatively Indirect,
Structurally Related Influences

Several combinations of mechanistic characteristics can also influence supervisory behavior more indirectly—by first influencing managers or leaders to establish directive and controlling, mechanistic structures around supervisors and their subordinates. The mechanistic structure, in turn, plays a large part in influencing supervisors to behave in a directive and controlling manner.

A. Because work at low levels in most organizations can be broken down into simple tasks having short completion times, and because certain efficiencies can be achieved by giving each worker a simple task to perform repetitiously, managers and leaders are inclined to develop mechanistic job descriptions for worker-level personnel. This is especially true in organizations where worker-level jobs are little affected by change outside the organization. Mechanistic job descriptions alone are enough to elicit directive and controlling behavior in the ways already described above.

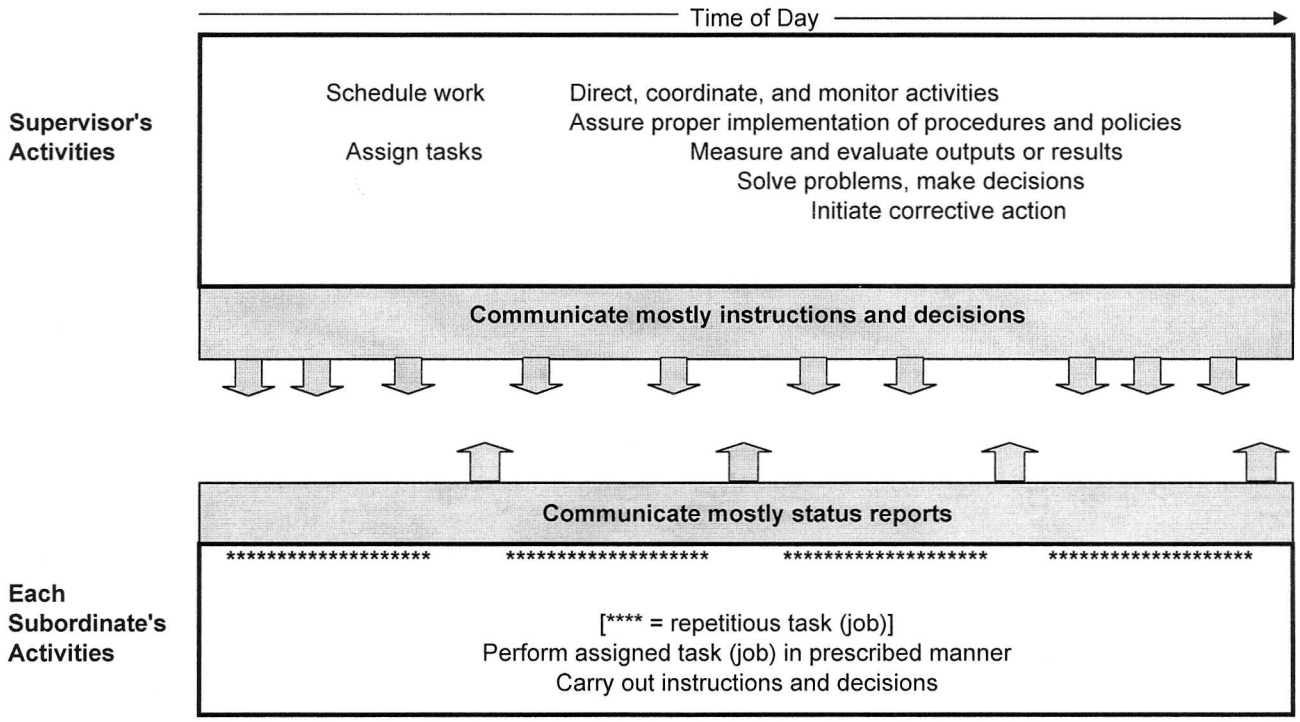
Additional pressures are put on supervisors if their groups' tasks are sequentially related and can be engineered (by management) into assembly line or material processessing types of operatons (for the sake of operational efficiency). Where jobs have been structured into a systematized work flow, several conditions normally exist: (a) the jobs involved are highly interdependent "links in a chain"; (b) each job must be performed rapidly, effectively, on schedule, and in a coordinated manner if the work flow is to be uninterrupted and highly efficient; (c) time is of the essence; and (d) no one but the supervisor is in a position to have an overview of the entire system and to keep it operating like a well-oiled machine. These conditions require a supervisor to be on top of the situation at all times, continually scheduling, directing, coordinating, monitoring, and evaluating activities in short-term, recurring cycles that closely correspond to workers' short-spanned, repetitious activity cycles. The result: rather constant behavior of a directive and controlling nature. (See **Figure 3**.)

B. Many procedures can be developed for worker-level personnel to follow. Because it would interrupt workers' repetitive work cycles and reduce their efficiency if they were to formulate their own working procedures, and because many managers and leaders view these personnel in a very Theory X manner (and therefore do not consider them capable of formulating efficient, effective procedures on their own), numerous procedures are usually developed by higher-level management or leadership for workers to follow. Whether they are standard operating procedures incorporated into job des-criptions, procedures for solving routine operating problems, reporting and paperwork procedures used organization-wide for the sake of uniformity and efficiency in processing information, or procedures for dealing with special situations, prescribed procedures are tools for direction and control.

Although managers/leaders and/or their staffs may develop procedures, they are physically and structurally removed from those who are to use them. Supervisors, however, are not. They are therefore given the full-time responsibility for seeing to it that subordinates learn and adhere to specified procedures. In effect, *supervisors are made the agents for direction and contro*l. (See **Figure 3**.)

C. Managers and leaders can rather easily formulate output objectives, schedules, and performance standards for mechanistic jobs. Because many of them view workers in a Theory X manner and there-

Figure 3: Daily Activities Revolving Around the Mechanistic Boss-Subordinate Relationships Existing Between a Theory X Supervisor and Subordinates Performing Mechanistic jobs



fore have little confidence in their abilities to formulate efficient, effective goals, plans, and performance standards for themselves, and because they may have little more confidence in supervisors' abilities to do so (for much the same reason), these tools of direction and control are generally formulated by managers or leaders.

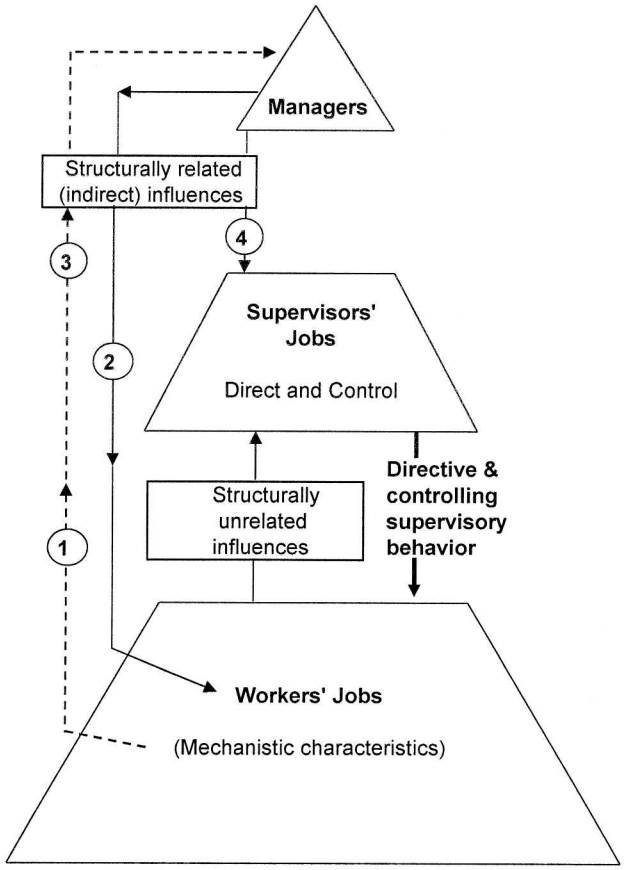
Again, since higher-level managers and leaders are structurally and physically removed from the worker level, but supervisors are not, supervisors are given full-time responsibility for seeing to it that the performance of their subordinates is consistent with prescribed goals, plans, and performance standards. Thus, in yet another respect, supervisors are made the agents for direction and control. (See Figure 3.)

D. Because of mechanistic tasks' characteristics, many managers and leaders conclude that a rather large number of worker personnel should be relatively easy to supervise (direct and control). (This tends to be especially true when objectives, plans, schedules, procedures, and performance standards applying to workers' jobs have already been outlined for a supervisor.) These superiors, therefore, are inclined to put supervisors in charge of anywhere from ten to as many as fifty immediate subordinates (the latter figure being a wide "span of control").

The number of assigned subordinates usually depends upon several factors. In general, more personnel can be supervised effectively when, for example, their jobs are simple, technically and functionally very similar, located close together, and can be engineered into an efficient, coordinated, systematized structure such as an assembly line. In 1965, Joan Woodward[66] described typical spans of control in several types of operations: 21 to 30 personnel in unit production operations; 41 to 50 in mass production operations; and 11 to 12 in continuous process operations.

Regardless of the fact that an increasing number of subordinates tends to make supervisors' jobs more

Figure 4: Conceptual Illustration of Mechanistic Characteristics' Influences on Supervisory Behavior



difficult, thereby increasing their tendency to be directive and controlling, the point here is that superiors assign rather wide spans of control expecting supervisors to be traditionally directive and controlling. These expectations are reflected in the job descriptions they formulate for supervisors and in their behavior toward supervisors.

The discussion above is summarized in **Figure 4**, which illustrates the following scenario.

Managers, associating mechanistic characteristics with operational efficiency, minimization of costs, and ease of control at the worker level **[1]**, are influenced to establish mechanistic job descriptions for worker personnel **[2]**. Then, associating the natures of workers with the natures of their jobs **[3]**, they establish a mechanistic (controlling) structure, part of which are job descriptions for supervisors that make them the agents for direction and control **[4]**. In effect, managers have said, "We will do the thinking—the goal-setting, planning, problem solving, and decision making. Workers will do the actual work in the manner and to the standards that we have prescribed. You, the supervisors, will make sure that they do what we want done. You will direct, coordinate, and control."

It is basically in this manner that various combinations of mechanistic characteristics tend to contribute to the formation of mechanistic structures, which, in turn, influence supervisors to be directive and controlling **[4]**. These structurally related influences, however, make another significant contribution to Theory X behavior. As shown in **Figure 4**, they are responsible for worker personnel being given mechanistic jobs in the first place **[2]**. Thus, they are also responsible for creating the conditions that put into operation the structurally unrelated, more direct influences of mechanistic characteristics.

By adding together all these structurally related and structurally unrelated influences, many of which reinforce each other, it is not at all difficult to understand why the characteristics of mechanistic jobs usually do bring about directive and controlling supervisory behavior.

How Organic Characteristics Tend to Elicit Less Theory X, More Consultive, If Not Participative, Managerial or Leadership Behavior

Although it can be said that the mechanistic characteristics of typical worker-level jobs create conditions that influence (almost force) supervisors to be highly directive and controlling, it is going too far to say that typical high-level managers and leaders are influenced by the organic characteristics of their managerial subordinates' jobs to behave in a highly participative, Theory Y manner. This is particularly true where worker-level jobs are mechanistic and organizational structures are geared to authoritarian direction, coordination, and control of workers' jobs. However, it can be said that, even when workers' jobs are mechanistic, high-level managers and leaders tend to be influenced by the organic characteristics of their own and their managerial/leadership subordinates' jobs to behave in a less Theory X, more organic, more consultive if not participative manner toward their subordinates. Of course, the influences of other personal and external factors discussed in Parts II and

III largely determine how much less Theory X or more Theory Y their behavior actually is.

Influences of the Organic Characteristics of Managers' and Leaders' Own Jobs

Higher-level managers' and leaders' jobs consist of numerous and varied goal-setting, planning, problem-solving, innovating, decision-making, and communicating activities. Several basic aspects of these activities make their use of a more organic, participa-tive, or team approach necessary—if they are to manage or lead most effectively.

Integrating Activities: Most leaders' organic activities revolve around two fundamental responsibilities: (a) the integration (coordination) of specialized technical or functional jobs at various levels in their units; and (b) the integration of their units' activities with those of other organizational units. These responsibilities largely underlie the complexity and ambiguity of their jobs.

Coping with Change: The integrative aspects of managers' jobs are frequently and often unpredictably complicated by change. Since the specialized activities of managers, their subordinates, their subordinates' subordinates, and other units are interrelated and interdependent in many respects, change affecting one individual or unit usually affects the others to some degree—indirectly if not directly. Thus, if activities are to be integrated effectively, reaction to change must be carefully planned and well coordinated.

Dealing with Uncertainty: It is better, of course, to plan for or try to influence change than simply to wait for and react to it. Organic activities aimed at influencing the future are, however, highly uncertain, because informational inputs are highly uncertain. Nonetheless, uncertainty must be dealt with if activities are to be integrated effec-tively over the long term.

Effectively integrating activities, coping with change, and dealing with uncertainty require analyzing and otherwise processessing considerable amounts of information and experience regarding task-related factors, people's characteristics, organizational variables, social pressures, and forces outside organizations. [We define experience as a knowledge of what has happened and how people either inside or outside an organization have behaved when certain actions have been taken in the past. Defined thus, experience is an important input for (a) anticipating what could happen if a particular alternative course of action were taken, and (b) assessing the probability of each of the possible outcomes or results.]

As extensive as some leaders' knowledge and experience may be, they cannot possibly have all that is necessary for personally formulating the most effective and fully integrated goals, plans, solutions, and decision concerning the activities of subordinate leaders and their units. They can, however, supplement their own limited knowledge and experience with the collective knowledge and experience of subordinates.

How managers go about tapping subordinates' knowledge and experience—in order to handle the complexities of their own jobs—largely depends on two factors. The first is the existing organizational structure—especially the boss/subordinate relationships prescribed in organization manuals and managers' job descriptions. The second is the managerial style that they are personally inclined to use. But as one might expect, organizationally prescribed practices do not always correspond to the practices that managers are personally inclined to use. Generally speaking, however, the higher a manager's level in an organization, the more latitude that he or she has to structure relationships with subordinates. Thus, the higher the manager's level, the more likely that his or her managerial style will be reflected in the structure he or she uses.

The "Wheel" or "Mechanistic" Structure

One alternative for tapping subordinates' knowledge and experience is the "wheel structure" illustrated in **Figure 5.** Here, the manager is the "hub" and immediate subordinates (A, B, C, D, and E) are the "spokes."

Several practices characterize this "centralized" structure:

A. All major goal setting, planning, problem solving, and decision making is done by the manager.
B. Subordinates provide the informational inputs that the leader thinks necessary.
C. The manager personally coordinates the activities of subordinates and their units.
D. The leader communicates mostly decisions and instructions to subordinates.
E. Subordinates are required to furnish the leader with frequent status reports.
F. Subordinates are not permitted to exchange information and ideas directly among themselves.

Figure 5: The "Wheel" (Mechanistic) Structure

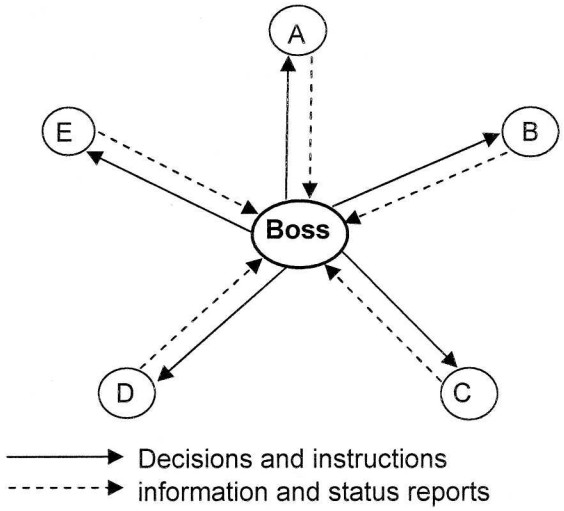
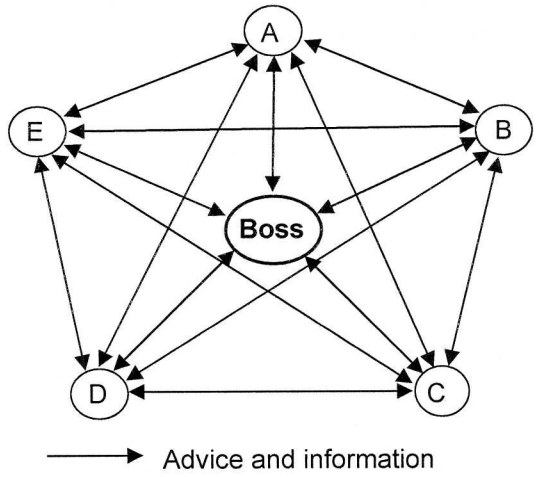


Figure 6: The "Each to All" (Organic) Structure



G. Minor goals, plans, ideas, and decisions must be communicated to and cleared by the manager before subordinates can implement them.

These directive and controlling practices constitute both a mechanistic structure and a Theory X style.

The "wheel structure" has several advantages:

A. It is the simplest structure.
B. It minimizes superfluous communications.
C. It saves time in the short term by minimizing time-consuming discussions and arguments.
D. It enables a manager to exercise complete control over the activities of managerial and/or supervisory subordinates and their units.

But the "wheel structure" also has several disadvantages:

A. Since it involves directive and controlling practices, it cannot maximize subordinates' performance, development, and satisfaction in either the short or the long term.
B. It is not flexible and responsive enough to deal well with sudden, problematic, confusing, changes created by unstable forces outside an organization.
C. It burdens the manager with time-consuming matters that subordinates could handle themselves (if they had the authority to do so).
D. Its effectiveness depends mostly upon the knowledge and mental capabilities of one individual—the manager or leader. Its effectiveness is therefore limited. Lacking enough time and much useful knowledge and experience (as all people do), a manager or leader cannot single-handedly do all the following with maximum effectiveness: (a) know (or get) and process all the useful information regarding each of the many think-work situations that arise; (b) formulate the countless major goals, plans, solutions, and decisions involved in the integration of all activities within a unit and its sub-units; and (c) coordinate all activities of a unit and its sub-units with the activities of other organizational units.

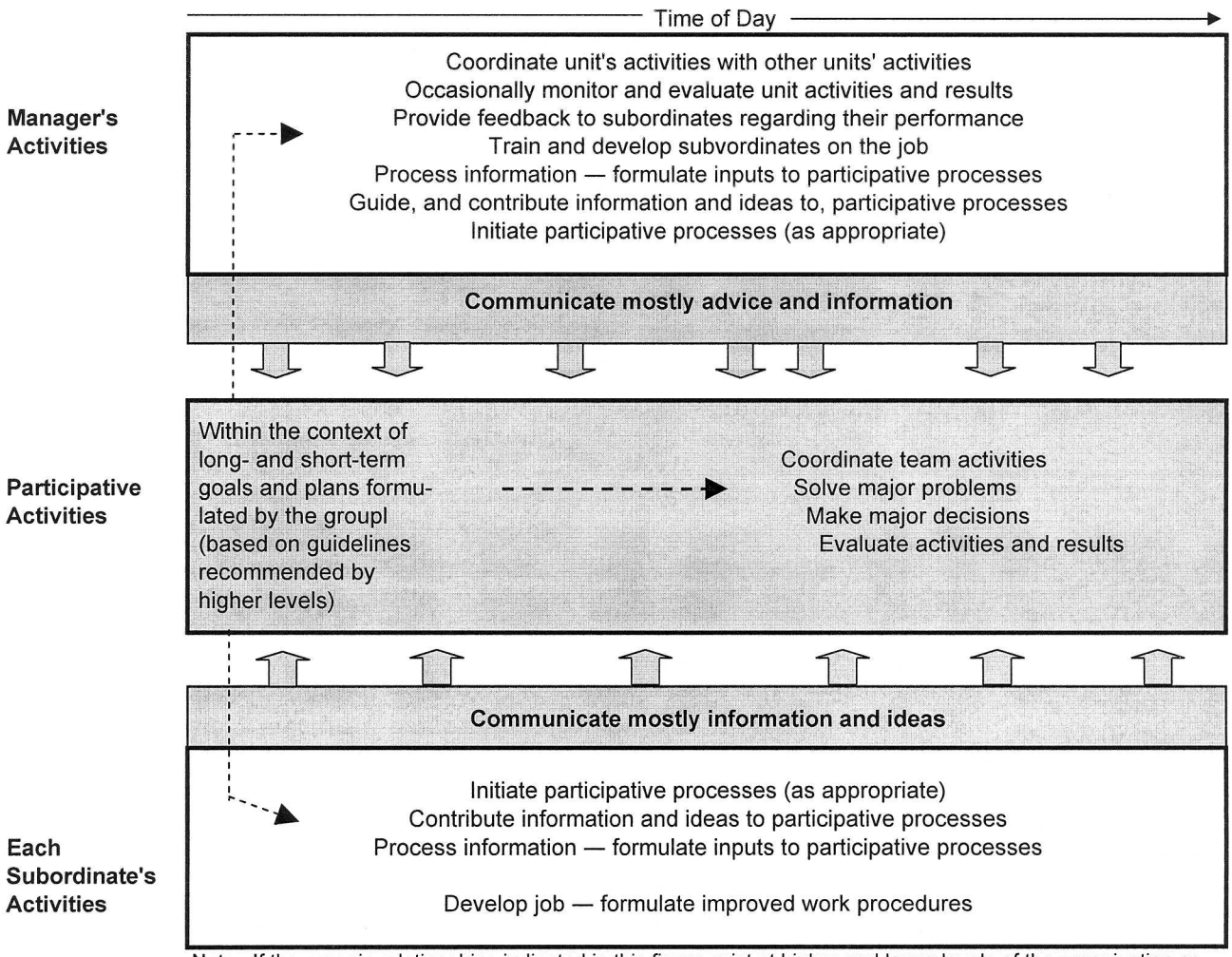
The "Each to All" or "Organic" Structure

Another alternative for tapping subordinates' knowledge and experience is the "each to all" (participative, organic, decentralized, or team) structure. This structure is illustrated in **Figure 6** and has been translated into **Figure 7** (page 18) for comparison with **Figure 3**.

These are some of the practices associated with the organic or team structure:

A. Subordinates participate with the manager in formulating the major goals, plans, solutions, and deci-

Figure 7: Daily Activities Revolving Around the Organic Boss-Subordinate Relationships Between a Hi Task, Hi People Manager and Subordinates Doing Organic Jobs



Note: If the organic relationships indicated in this figure exist at higher and lower levels of the organization as well, then (a) the manager (a higher manager's subordinate) also performs the activities listed for subordinates, and (b) subordinates (lower level personnel's managers) also perform the activities listed for the manager.

sions that affect the entire unit and its sub-units. During these group processes, use is made of any advice, information, ideas, and guidelines that may have been obtained from other levels or units of the organization.

B. The leader communicates mostly advice and information to subordinates.

C. Subordinates communicate mostly advice and information to the manager.

D. Each subordinate exchanges advice, information, and ideas freely with other subordinates for the purpose of integrating the activities of their units (within the context of long- and short-term goals and plans previously formulated by the group).

In short, all members of the group participate in important integrative functions and consult with each other on a regu-

lar basis. These practices constitute an organic structure and a participative or team approach to management.

This structure has two main disadvantages:

A. The activities associated with organic relationships are complex. For these activities to be carried out effectively, all group members must possess relatively advanced integrative and interpersonal capabilities.

B. It can take time to conduct effective group meetings (even though the time may be well spent).

Both disadvantages, however, can be minimized if not eliminated through development of all team members' interpersonal skills and knowledge of effective group goal-setting, planning, problem-solving, and decision-making principles and procedures.

On the other hand, a team structure and participative practices have distinct advantages:

A. Participative practices maximize subordinates' development, performance, and satisfaction in both the short and the long term.

B. Two (or more) heads are generally better than one. By combining their knowledge, experience, and information-processing skills, the members of a group can formulate more effective goals, plans, solutions, and decisions (especially when group members' attitudes, knowledge, and information-processing capabilities have been adequately developed).

C. Although group processes consume time, the more effective outputs that result can save time and money in the long run. For example: By taking the time to identify and thoroughly analyze the many factors that affect the unit's operations, and by taking the time to anticipate problems and formulate steps to prevent them, more effective goals and plans can be formulated. This vastly reduces the number of problems that tend to occur, thereby significantly reducing the amount of time and money spent on problem solving.

D. The organic structure enables more efficient and effective adaptation to sudden, problematic, confusing changes (which can emanate from either inside or outside the organization).

E. As subordinates consult freely with each other, they not only acquire information necessary for integrating activities within and between their sub-units, but each also gains an understanding of the others' problems. This improves intra-unit cooperation.

   Similarly, as subordinates consult freely with their counterparts in other organizational units, they not only acquire information necessary for integrating their sub-units' activities with other units' activities, but they also gain an understanding of other units' problems. This improves inter-unit cooperation.

F. Participative practices enable subordinates to tap their superior's knowledge and experience more readily and effectively.

G. Subordinates' participation in integrative processes enables the manager to monitor their thoughts and feelings, to assess the levels of their integrative and interpersonal capabilities, and to determine their developmental needs. The manager can then provide any needed training and development, thereby improving subordinates' abilities to perform well both individually and as a team.

H. When subordinates participate in the formulation of important goals, plans, solutions, innovations, and decisions, they tend to accept them more readily, be more committed to them, and implement them more efficiently and effectively.

Clearly, the advantages of utilizing organic practices within a management team far outweigh the disadvantages —particularly in the long term, but in the short term as well. It is also clear that a manager can perform more effectively by using a more organic, participative approach instead of a directive and controlling, mechanistic, Theory X approach.

In light of the discussion above, we make the following generalization:

Because their jobs are so complex, ambiguous, varying, and uncertain, higher-level managers and leaders tend to be influenced to behave in a less directive and controlling, more consultive if not participative manner.

Several points that qualify and elaborate on this generalization should be mentioned.

First: It applies most to those managers and leaders who are highly concerned about managing or leading their units as effectively as possible, and, therefore, concentrate their thoughts and efforts on basic integrative functions. Such individuals think and plan before they act, thereby preventing many problems from developing.

Unfortunately, as Henry Mintzberg[67] of McGill University points out, many if not most managers are not this reflective and professional. His studies show, for example, that most managers devote less than nine minutes to 50% of all situations in which they become involved, and devote more than one hour to only 10% of all situations. Furthermore, he found that most managers, rather than concentrating on the basic integrative functions, are constantly engaged in what we consider to be more action-oriented "collateral" roles. These include: interpersonal roles such as leader, unit figurehead, and liaison with other units; informational roles such as information collector, information disseminator, and unit spokesperson; and decisional roles such as disturbance handler, resources allocator, and negotiator.

We find that managers and leaders who are more action-oriented than thought-oriented tend to behave in a rather directive and controlling manner. We also find that this tendency eventually creates conditions that make such behavior more or less unavoidable and necessary. Being more action-oriented and concerned about immediate results, these people are not inclined to analyze operations thoroughly or to plan and organize for effective long-term results. Consequently, they issue a succession of short-term, less than fully effective plans, decisions, instructions, and solutions. Such behavior generally fails to prevent, usually does not really solve, and often causes problems. As a result, problems arise with increasing frequency. Sooner or later, therefore, these managers and leaders are doing so much fire-fighting and expediting under so much pressure that they are unable to get things done in any other than a harried, nonreflective, nonparticipative, directive and controlling manner.

Second: Although the above generalization can apply to low-level managers, it particularly applies to high-level managers, because their jobs are typically the most complex, ambiguous, varying, and uncertain.

Third: It must be acknowledged that the influences of prescribed mechanistic structures and of other Theory X-oriented influences (to be discussed in up-coming sections of Parts II and III) can override the influences exerted by the organic characteristics of leaders' own jobs.

Influences of the Organic Characteristics
of Subordinates' Jobs

In general, the more organic their subordinates' jobs, the more that managers and leaders can be influenced to use less directive and controlling, more consultive if not participative practices and to behave in a more considerate, trusting, support-ive, and informal manner.

Because of the complexity, ambiguity, variability, changeability, and uncertainty of organic jobs, because these jobs involve complex mental processes that are extremely difficult to observe and interpret, because the need for a particular organic task to be performed is not always apparent, because numerous organic tasks of different types are being performed by each subordinate, because the results or effects of specific organic tasks are relatively difficult to measure and evaluate, and because the results of organic think-work activities may not become apparent for days, weeks, months, or sometimes years, several influences are exerted on managers by their subordinates' organic tasks.

A. It is very difficult at best for any manager to determine the following: (a) what each subordinate should be thinking about; (b) in what order subordinates should be tackling the various goal-setting, planning, decision-making, and problem-solving situations confronting them; (c) what and how much they should accomplish; (d) what and how much is actually being accomplished; (e) whether or not particular organic tasks are being performed most effectively; (f) the underlying causes of problems; and (g) whether or not managerial intervention in subordinates' activities is necessary.

   In this regard, we should inject several points regarding the use of quantifiable performance parameters such as profits, revenues, costs, return on investment, and units of output. Without these useful tools, it would be virtually impossible to formulate goals, to develop performance standards, to measure and evaluate results, and to identify problems. However, as helpful as these tools are, they (a) show only what they were designed to show; (b) do not always show what they seem to show; (c) do not tell why certain results have occurred and who or what contributed to them; and (d) reflect the combined or net effects of many organic activities (some effective and some ineffec-tive) performed by many individuals.

Thus, when "the numbers" show, for example, that a subordinate manager and his or her unit are minimizing costs, adhering to budgets, and making or contributing to profits, they do not necessarily indicate that the most effective goals, plans, budgets, procedures, solutions, innovations, or decisions have been formulated, or that such outputs have been implemented in the most effective manner. Neither do they necessarily indicate high morale, the adequate development of personnel, and the absence of serious problems. Nor do they necessarily indicate whether or not other factors may have been largely responsible for seemingly effective overall performance. These "other factors" can include: (a) decisions made and results achieved by, for example, predecessors and higher-level managers; (b) particularly favorable technological, economic, or market conditions; and (c) sheer momentum of the unit's or entire organization's operations. Conclusion: Numerical parameters are necessary tools, but they must be designed, analyzed, interpreted, and used wisely.

Under these conditions, actually directing and controlling the majority of subordinates' activities—and doing so with a high degree of effectiveness—is extremely difficult if not impossible. Conversely, it is much easier to obtain highly effective results by using more organic, participative practices. This situation tends to influence managers to use a less directive and controlling, more consultive if not participative approach. Furthermore, if they appreciate that their managerial subordinates' jobs are almost as organic as their own, they can be influenced to behave in a more considerate and supportive manner.

B. Control activities such as monitoring, measuring, and evaluating results cannot be performed on a minute-by-minute, hour-by-hour, or day-by-day basis (as in the case of mechanistic tasks). In effect, control activities are spread out over time. Thus, compared to typical supervisors' day-to-day contacts with workers, which involve a considerable number of control-related activities, typical managers' day-to-day contacts with their managerial subordinates involve more activities that are conducive to participative, supportive behavior and far fewer activities that are conducive to directive and controlling behavior. Consequently, they can be influenced to behave in a less directive and controlling, more participative and supportive manner. (See Figures 3 and 7.) In addition, the longer time span between the performance of an organic activity and the evaluation of its results obliges managers to be patient and to put more trust in subordinates' abilities to perform organic activities effectively.

C. Because organic jobs are complex, varying, subject to change, and require the use of a wide range of mental skills, they (a) are more challenging and interesting, (b) offer more opportunities for achievement, and (c) are accorded higher organizational status than mechanistic jobs. In effect, they inherently contain more motivator factors than mechanistic jobs. Since organic jobs are more intrinsically fulfilling and motivating, managers need rely much less on Theory X practices (such as exerting positional authority and using threats and punishments) to stimulate managerial subordinates' on-the-job commitment and effort.

D. Because managerial subordinates perform complex jobs, need to use a wide range of mental capacities, have relatively high organizational status, and seem to be motivated by their work, it is rather natural for these individuals' superiors to form less Theory X, more Theory Y views about them. These views normally influence managers and leaders to behave in a more considerate, trusting, supportive, informal, and con-sultive if not participative manner.

E. Because of the complexity of their immediate subordinates' jobs (and even greater complexity of their own), higher-level managers and leaders are generally required to possess a relatively high degree of managerial and technical or functional expertise. (This is particularly true in organizations where promotions are based more on expertise than on factors such as seniority.) By demonstrating a high degree of expertise, managers can earn the respect and trust of subordinates, thereby acquiring considerable influence. Having this expertise-based influence, they (a) have relatively little need to exert their positional authority in a Theory X manner, and (b) are both more inclined and more able to behave in a Theory Y manner.

We should add that the influences discussed in items D and E are mutually reinforcing and contribute to superior-subordinate relationships that reflect mutual respect, trust, consideration, and cooperation. Such relationships are essential in organic structures, largely because the effective-

ness of these structures depends upon the effective communication of information, ideas, opinions, and feelings.

When all these influences are added together, it is quite understandable that organic characteristics can be largely responsible for less Theory X, more consultive if not participative behavior. The fact that many managers still do not behave in a "High Task, High People," participative manner can be attributed to factors other than the organic characteristics of their own and their managerial subordinates' jobs.

Theory X (High Task, Low People) vs. Theory Y (High Task, High People) or Team Style

Which organizational structure and associated managerial style is actually most effective where jobs are organic? Which structure and style is actually most effective where jobs are mechanistic? While the answer to the first question should be apparent, the answer to the second question has been debated extensively. Research conducted years ago provided some answers, but rather confusing answers in the case of the second question.

Research Findings

The following are the results of several serious studies regarding the two questions above.

Findings Where Jobs Are Organic

Studies by industrial sociologists Tom Burns and G. M. Stalker indicated that, in general, where personnel as a group perform uncertain, ambiguous, problematic, complex jobs, they function most effectively in an organic structure.[68] In light of our previous discussion, this finding is not at all surprising. An organic structure enables a group to deal with problems, opportunities, and sudden, confusing changes more effectively than a mechanistic structure.

Recognizing that managerial and leadership styles are very closely related to organizational structures, Fred Fiedler specifically investigated the effectiveness with which various managerial styles can be used to integrate organic tasks. He concluded that, in general, where a group is engaged in uncertain tasks, a rather considerate, supportive, informal (Theory Y) leader is most effective.[69]

The findings of Harvard Business School professors Paul Lawrence and Jay Lorsch[70] corroborated those of Burns and Stalker and of Fiedler.

It can be said rather confidently, we believe, that an organic structure, participative/developmental practices, and "high task, high people" behavior are necessary if organic jobs are to be managed most effectively.

Findings Where Jobs Are Mechanistic

This is the area in which seemingly contradictory findings have created much controversy.

Burns and Stalker's studies led them to conclude that, in general, where personnel as a group perform simple, routine, highly certain jobs, they perform most effectively in a mechanistic (controlling) structure.[71]

Regarding managerial and supervisory styles, Fiedler found that, in general, where a group is engaged in highly certain tasks, a controlling, formal, active (Theory X) leader is most effective.[72] Again, Lawrence and Lorsch's findings are consistent with those of Burns and Stalker and of Fiedler.[73]

On the surface at least, these researchers' findings seem to conflict with the findings and concepts of Maslow, Herzberg, and McGregor, all of whom would assert the superiority of Theory Y practices and interpersonal behavior. They also seem to conflict with the findings of Joan Woodward, the noted English industrial sociologist. According to Woodward,[74] as many as fifty personnel performing mechanistic jobs can be supervised most effectively through the use of a more participative approach. In addition, the findings seem to conflict with the significant results actually obtained in organizations that have successfully implemented variations on the Theory Y approach where jobs are mechanistic.

Before explaining what seems to be a conflict, let us first discuss Theory Y-oriented approaches to mechanistic jobs and relate just a few of the results that have been achieved.

Theory Y, "High Task, High People" Approaches to Mechanistic Jobs

Although the basic Theory X and Theory Y approaches were described and compared in Part I, there are several

variations on the basic Theory Y approach that should be discussed further.

Job Enrichment

Because of its scope, intent, and spirit, the Theory Y approach encompasses many practices that enrich worker-level jobs, whereas Theory X practices do not. This aspect of the Theory Y style should be described in more detail at this point.

"Job enrichment" and "job redesign" are terms that are often used synonymously. Actually, job enrichment is the result of implementing certain job redesign practices that make worker-level jobs more interesting, challenging, and intrinsically fulfilling. Essentially, job-enriching practices are job redesign practices that incorporate motivator factors into worker-level jobs.

Job enrichment practices fall into two groups: (a) participative practices, and (b) practices that change, rearrange, or restructure existing worker-level tasks.

Participative practices redesign and enrich mechanistic jobs by incorporating integrative functions (organic tasks) into them. These practices include:

a. encouraging and guiding personnel's participation in formulating output goals, work schedules, performance standards, and operating procedures;
b. encouraging and guiding personnel's acceptance of greater responsibility for planning, coordinating, and controlling their own activities;
c. increasing opportunities for personnel to think for themselves and to act on their own initiative;
d. encouraging and guiding personnel's participation in solving problems, improving operations, and reducing costs;
e. providing feedback with which personnel can evaluate, control, and improve their own results or performance; and
f. giving personnel responsibility for becoming experts on specialized tasks and for providing both co-workers and management with expert advice and information.

In the process of reducing supervisory direction and control and increasing workers' responsibility for greater self-direction and self-control, *these practices increase workers' personal responsibility for their performance*. Equally as important, *they give workers opportunities to influence their work life, to be self-expressive both about and through their work, and to make their jobs "more their own babies*."

Job redesign practices that change, rearrange, or restructure existing worker-level tasks, actually enriching worker-level jobs in the process, include:

a. introducing new and more difficult tasks into existing jobs;
b. eliminating highly mechanistic tasks by automating them, and then giving personnel responsibility for controlling the automated processes;
c. grouping two or more related tasks (that previously may have constituted two or more jobs) into a more complete, natural unit of work or sequence of operations (that constitutes one job and results in a more complete if not wholly complete assembly, product, or service)—for example, incorporating pre-work tasks or preliminary operations into a job, incorporating subsequent operations into a job, or both;
d. assigning personnel who perform highly related tasks to work groups or teams; and
e. assigning "pool personnel" such as clerks, typists, and maintenance personnel to groups whose jobs are interrelated and interdependent and whose work is perceptibly meaningful and significant.

"Job enlargement," which is sometimes mistakenly equated with job enrichment, involves several practices for enlarging, redesigning, or upgrading jobs:

a. giving personnel additional, more or less unrelated mechanistic tasks;
b. rotating personnel's mechanistic task assignments;
c. simply increasing output goals and performance standards (and doing nothing more);
d. eliminating difficult tasks so that more of the less difficult tasks can be performed.

Although these practices may "enlarge" jobs, they do not actually "enrich" them. Basically, they just increase their mechanistic, meaningless natures, thereby contributing little if anything to personnel's development and psychological fulfillment. In our own and others' opinion, therefore, use of the term "job enlargement" and the associated practices should be avoided.

One of the earliest successful applications of job enrichment was reported in 1967 by Morrow, Bowers, and

Seashore.[75] At the Harwood pajama factory, a large number of poor, rural, uneducated female machine operators were encouraged to accept responsibility for greater self-direction and self-control and were given more flexible, varying work assignments. The results included: greater worker satisfaction; more committment to their jobs; more effort on the job; higher productivity; less employee turnover and absenteeism; fewer defects in output; less machine downtime; and a lower cost per unit of output. When Harwood management applied its approach to a newly acquired, failing competitor, production efficiency increased by 25%, operator turnover dropped from 10% to 4% per month, and return on investment increased from -15% to +17%—all in about a two-year period.

In 1973, Robert Ford[76] reported that, by utilizing job enrichment practices, Illinois Bell Telephone had reduced its directory compilation workforce from 120 to 74 persons.

In 1975, Robert Skole[77] reported results obtained at the Volvo plant in Kalmar, Sweden. When the plant's management established self-managing teams, each responsible for installing a complete electrical, interior, control, or safety system in automobiles, the results included lower employee absenteeism and turnover.

In 1975, Paul Dickson[78] reported results obtained by Donnelly Mirrors, Motorola, Ralston Purina, and other companies.

The management of Donnelly Mirrors coupled the formation of self-controlling work teams with a profit-sharing incentive system. As a result, Donnelly was able to double productivity, improve product quality, and reduce its prices. Other results included: a reduction of absenteeism from 5% to 1.5%; a reduction of tardiness from 6% to less than 1%; a steady employee turnover rate of only 5%; and 97% employee satisfaction with the company. According to Dickson, Xerox, Sears, Texas Instruments, Hewlett-Packard, Lincoln Electric, and American Velvet achieved similar, equally impressive results by using similar approaches.

Motorola trained "assembly technicians" to assemble, test, and package a pocket radio paging device. As a result, they reported better use of plant space, a reduced parts inventory, improved quality, lower repair costs, and reduced employee turnover and absenteeism.

Ralston Purina, Minnesota Mining and Manufacturing, and Lockheed implemented programs that encouraged personnel to solve problems, improve operations, and cut costs on their own initiative. In the case of the 3M Company, costs were reduced by $10 million in one year.

These few examples, we believe, amply demonstrate that Theory Y-oriented, job-enriching practices can be superior to Theory X practices where jobs are mechanistic—when they are properly implemented.

Proper implementation is key to the success of job enrichment projects. Several researchers have identified conditions under which many projects have actually failed:

a. when job enrichment efforts destroyed an efficient technology (Levitan and Johnson, 1973[79]);
b. when organizational diagnosis, project planning, and managerial, supervisory, and work-force training were not properly performed (Sirota and Wolfson, 1972[80]); and
c. when non-middle-class, blue-collar workers from urban areas were involved (Hulin, 1971[81]; Locke, 1976[82]).

The successful job enrichment projects mentioned above were implemented during the 1960's and early 1970's—before companies in the United States began to take notice of Japanese efficiency and quality, began to research their methods, and began to adopt Quality Control Circles and similar approaches.

Quality Control Circles

"Quality circles" are groups of seven to ten people (either from the same work area or doing similar/related types of work) who voluntarily meet together (usually once a week for about an hour) to identify, analyze, and solve quality, efficiency, and other problems in their areas.[83] Meetings are usually led by first-line supervisors who have been trained to guide problem-solving processes. Typical problems include: how to reduce rejects; how to improve work flow and work procedures; how to reduce waste, machining time, warehousing time, inventories, and paperwork time; how to increase safety; how to reduce absenteeism; and so on. Circles, which have become somewhat less fashionable over the years, generally concentrate on one problem before going on to another.

Approximately 1,500 large and small U.S. companies turned to such programs to solve various problems. Quality circles were implemented by Ford, Westinghouse, Chrysler, Boeing, Motorola, Honeywell, General Electric, Lockheed, Reynolds Metals, Hughes Aircraft, Control Data, DuPont, Hewlett Packard, Signode, RCA, Uniroyal, Johnson & Johnson, J. C. Penney, Rockwell International, Armstrong, Sperry, Eaton, Champion Spark Plug, Ex-Cell-O, and Ampex.[84] General Motors and AT&T established what they called "Quality of Worklife" programs.[85] In cooperation with their unions, Bethlehem Steel, National Steel, Jones & Laughlin Steel, and other companies formed what

they called "Labor/Management (Management/Worker or Employee) Participation Teams."[86]

Some objectives of these various programs were to . . .

a. reduce errors and increase quality;
b. promote job involvement and dedication;
c. improve operating efficiency;
d. stimulate problem-solving activity;
e. promote an attitude of problem prevention;
f. reduce costs;
g. develop problem-solving skills;
h. improve company communications;
i. promote personal and leadership development;
j. create a better workplace; and
k. develop trust and harmonious relations between management and the workforce, thereby reducing adversarial relationships.

Did these programs get results? Most assuredly. According to Woodruff Imberman, a management consultant, programs of the companies mentioned above—and of other companies—were "very successful." He cited the following examples:[87]

1. A machine tool builder cut accident costs from $80,000 (in the prior year) to $59,000 in the first year and to $14,000 in the second year.
2. A metal fabricator increased its (dollar) shipments per employee by 15% without incurring additional labor costs.
3. An electronic components manufacturer cut its rejection rate on printed circuit boards from 99% to 4.5% within nine months.
4. A sofa bed producer boosted output per labor hour by 14%.
5. A plastics company increased its average for on-time shipments from 85% to 93% in one year.
6. A maker of automotive products cut overtime hours on parts finishing from a monthly average of 750 hours to 210 hours (with no increase in rejections).
7. A manufacturer of communications equipment reduced absenteeism in its assembly department from 16% to 6%, and reduced total absenteeism from 9.5% to 4%.

Walter Scott cites several more examples:[88]

8. Motorola boosted equipment output by 25%, increased employee cooperation and skill development, and decreased turnover and grievances.
9. A second company saved almost $6 million over three years.
10. Many other companies have reported dramatically reduced product defects, significantly reduced materials costs, and reductions in overall costs as large as 50%.

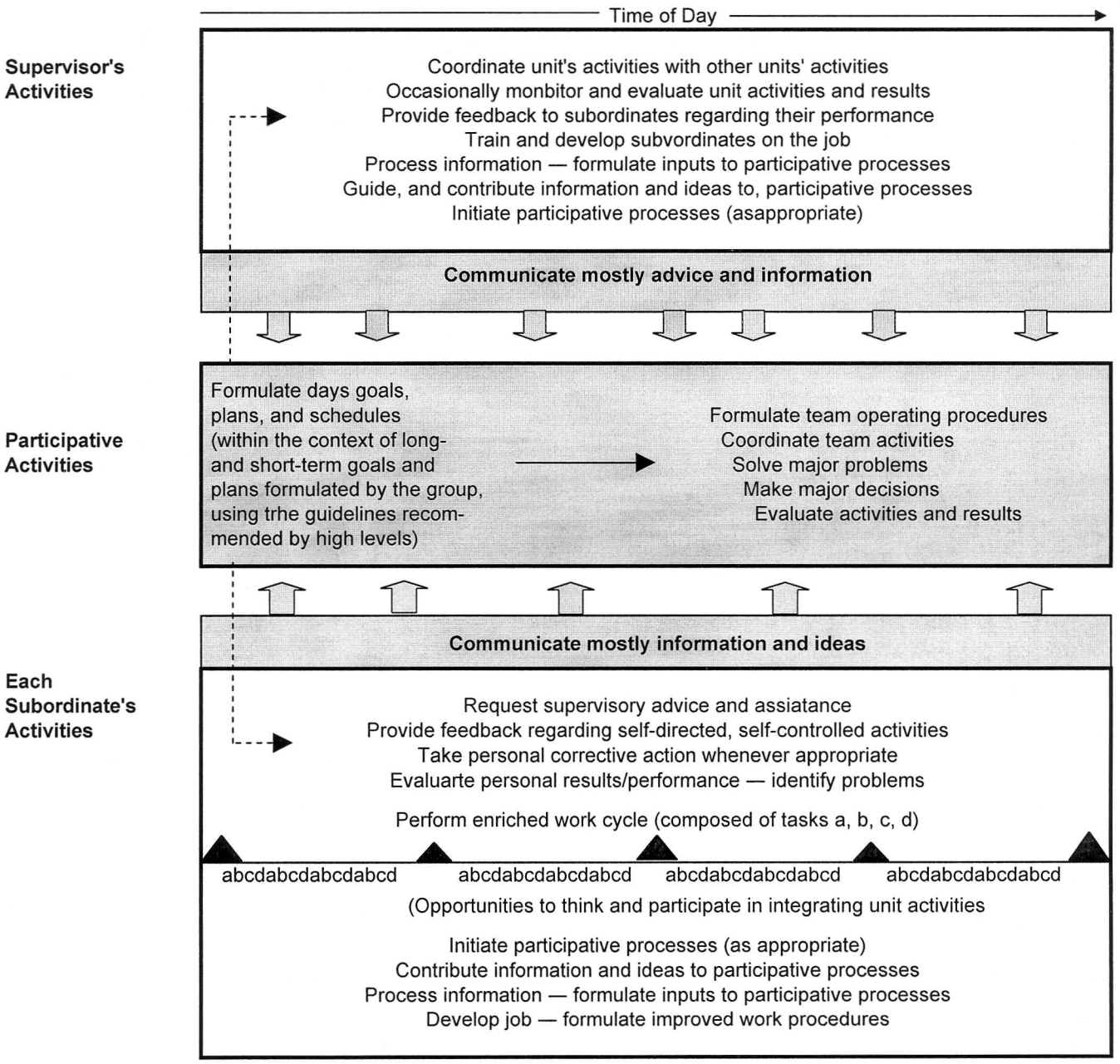
These few examples amply demonstrate that participative approaches can be superior to the Theory X approach where jobs are mechanistic.

However, while most programs do get measurable results, and while many have returned from $4 to $6 for every $1 invested in planning and implementing them, many more have not paid for themselves. Imberman conducted a two-year study of 41 programs being implemented by manufacturers, distributors, retailers, and insurance companies.[89] He found that, even though they all produced certain positive results, 28 (68%) failed to produce financial benefits totalling more than the project costs. Imberman also refers to Dr. Mathew Goodfellow's study of 29 programs being implemented by manufacturers, wholesalers, utilities, and insurance companies. Goodfellow found that, even though they all produced certain positive results, 21 (72%) could be considered financial failures.

Imberman and others[90] have identified various reasons why many Quality Circle programs are unsuccessful:

1. Lack of top management involvement and support — stems from a lack of knowledge concerning people-oriented practices and how to implement them; contributes to each of the following problem areas.
2. Authoritarian management style practiced from the top, down — leads workers to conclude that management is really indifferent to what they need, feel, think, and can do; undermines employee morale and cooperation.
3. Inadequate planning — stems from lack of top management knowledge and involvement; can lead to each of the following problems.
4. Poor employee morale — largely stems from a non-people-oriented environment; leads to an unwillingness to volunteer for participation in a Circle.
5. Inadequate orientation of union leadership and/or workforce to what is being attempted and how they will benefit — stems from non-people-oriented management attitudes and a lack of planning; leads to union opposition and employee uncooperativeness.
6. Union opposition — can stem from past manage-

Figure 8: A Participative, Team , Job-Enriching (HT,HP) Approach to Worker-Level Jobs



ment attitudes and behavior, an inadequate orientation, lack of involvement in planning, and a distrust of management motives (e.g., "management simply wants to increase efficiency and reduce the number of jobs").

7. Management inability to persuade workers to take part in Circles — can stem from an inadequate orientation, union opposition, worker distrust of management, and poor morale.
8. Poor selection of circle facilitators/leaders — stems

from poor planning; leads to ineffective meetings.

9. Poor supervisory training — stems from poor planning; probably covers the "nuts and bolts" (statistics, productivity "awareness," problem analysis, and information collection), but does not cover such topics as interpersonal relations, motivation, and how to deal with real world, day-to-day shop floor situations; leads to ineffective meetings and non-reinforcing supervisor/worker relationships.
10. Lack of middle management involvement and support — can stem from a lack of top management involvement and the perception of Circles as being a threat to middle-management authority; can adversely affect the attitudes of supervisors, who are expected to behave toward workers in a way that they themselves are not being treated.
11. Continued existence of non-supportive organizational systems: e.g., communication systems that prohibit the free flow of ideas and information; disciplinary procedures that use threats of punishment as "motivators"; and reward systems that emphasize short-term rather than long-term results.

A Synthesized (Participative, Job-Enriching) Approach to Mechanistic Jobs

Figure 8 is a simplified model of a situation in which (a) the supervisor is utilizing participative practices and is behaving in a "high task, high people" manner, and (b) workers' essentially mechanistic jobs have been changed, rearranged, or restructured. Since many of the conditions and supervisor/subordinate relationships that exist in such a situation have been described in Part I, and since this model is similar in design to Figures 3 (page 14) and 7 (page 18), Figure 8 needs little explanation. However, special notice should be taken of several phenomena.

A. Workers are performing an enriched work cycle, which they themselves participated in designing. Instead of doing task "c" repetitiously (as they might have been doing in Figure 3), they are also doing prework tasks "a" and "b" and postwork task "d," which together constitute a more meaningful, natural group of tasks.

B. The directive and controlling contacts with subordinates shown in Figure 3 have been replaced with the more advisory, informative, supportive contacts shown in Figure 7. As a matter of fact, with a few exceptions, Figure 8 is very similar to Figure 7.

   1. Guided by their supervisor, workers set per-formance goals and plan their activities for the day (within the context of short- and long-term unit goals and plans that they have participated in formulating).

   2. During each day (or shift), workers have opportunities to participate in planning, coordinating, and controlling (a) their individual activities, and/or (b) the unit's or team's activities.

      Examples: A worker might discuss rescheduling his or her workload with the supervisor—or might reschedule it personally within pre-agreed guidelines. A team composed of workers and their supervisor might do the following: reschedule the workload; speed up or slow down an assembly line; decide to rotate jobs for a period of time; notify each other of equipment, workflow, or quality problems; identify causes of problems and work out solutions; and identify problems involving other units or departments and suggest solutions.

      When and how they do so can depend on factors that affect their ability to communicate (e.g., work area layout, communications facilities, and noise level).

      Where personnel work close enough together to speak to each other easily (over a normal noise level), they can spontaneously plan, schedule, coordinate, and control their activities as necessary. On the other hand, where their work stations are too far apart (or it is too noisy) and they cannot communicate either vocally or visually, their ability to be self-directing, self-coordinating, and self-controlling as a team is constrained.

      Several alternatives can be utilized to deal with or possibly remove the communication barriers. One alternative, shown in Figure 8, is to permit workers to meet together at scheduled intervals (or at unscheduled times when necessary). Another, more flexible alternative is to install visual or vocal communications systems. In several instances, for example, we have recommended outfitting members of a work team with relatively inexpensive, miniaturized, voice-activated FM radio transceivers.

C. By encouraging and guiding greater self-direction, inter-group coordination, and self-control by subordi-

nates, the supervisor has more time for analyzing operations, planning, and developing subordinates' potentials.

D. The model assumes that (a) top-, middle-, and lower-level managers have all been trained in participative practices and HT,HP behavior; (b) participative practices and HT/HP behavior are being utilized top-down; (c) the management team's example has stimulated supervisory and worker interest in becoming involved in this approach; (d) supervisors have been oriented to the approach and have been trained in interpersonal relations, communication, and how to guide group processes; (e) workers have been oriented to the approach and have been trained in group goal-setting, planning, and problem-solving processes; and (f) organizational systems for supporting participative practices at the worker level have been developed. [A model describing how this can be done is presented in Part IV.]

Special notice should also be taken of several major differences between this approach and Quality Circles.

A. In this approach, supervisors' use of participative practices is customary and constant. In the case of Quality Circles, however, participative meetings are generally held only once a week. In the meantime, workers do not necessarily participate in planning, coordinating, and controlling their activities.

B. Many Quality Circle programs were implemented because top managers believe that (1) the greatest quality, productivity, and people problems exist at the lowest levels of the organization; and (2) the implementation of Quality Circles would be a relatively inexpensive quick fix compared to a top-down organizational development effort. They failed to recognize that (a) there would be no need for Quality Circles if participative practices were already being used from the top all the way down to the worker level; (b) using participative practices within a management team is advisable if their implementation at lower levels is to be successful; and (c) there are many other important reasons for implementing participative practices within a management team. Nonetheless, it takes time and systematic organization development to accomplish the activities briefly outlined in D above.

Perspectives on Seemingly Conflicting Findings, Concepts, and Results

Seemingly conflicting findings, concepts, and results have been responsible for much confusion and debate. Many experts have concluded that no one structure and style can be most effective in all situations and that the choice of structure and style should depend on the set of factors or circumstances involved in a particular unit or organization.

Although we do not doubt the accuracy of Burns and Stalker's, Lawrence and Lorsch's, and Fiedler's findings, we have concluded that participative, developmental practices and "high task, high people" interpersonal behavior can be most effective in nearly all situations—if they are used properly and if certain obstacles discussed below can be overcome. Several perspectives concerning the findings and results mentioned above underlie our conclusion.

First: As social psychologist Harold Leavitt[91] has pointed out, conclusions regarding the effectiveness of structures and styles depend largely upon the criteria used to evaluate their effectiveness. For example: A mechanistic structure and controlling style would seem to work best if the criteria used dealt only with the short-term efficiency of operations (e.g., problem-solving speed; speed of work flow or unit production; number of errors; number of time-consuming communications; amount of paperwork; and short-term costs). On the other hand, a less controlling structure and participative, developmental practices would seem to work best if several other criteria were also used: innovative contributions by personnel to less costly, more efficient and effective operations; resolution of novel problems; personnel's development; personnel's satisfaction, morale, effort, and loyalty; and long-term efficiency and effectiveness of operations. The use of these additional criteria has been recommended by many management experts, including Peter Drucker,[92] the leading proponent of Management by Objectives.

Second: What the findings of Burns and Stalker, Lawrence and Lorsch, and Fiedler really show, we believe, is that the use of participative, developmental practices is not necessary in order to obtain high, efficient productivity in the short term. A mechanistic structure and controlling style can work very well. Nevertheless, it is our own and others' opinion that *the three related, mutually reinforcing factors—development, productivity, and satisfaction—can only be*

maximized over the long term by modifying mechanistic structures and replacing Theory X practices and behavior with participative/developmental practices and "high task, high people" behavior.

Third: We think it particularly important to recognize that, just because many jobs are very mechanistic, they do not necessarily have to remain very mechanistic. Change for the better is both desirable and possible. By using job-enriching participative and job redesign practices, jobs can be made less mechanistic and personnel's capabilities and motivation can be significantly improved. As a result, the previous conditions that may have seemed to warrant a mechanistic structure and directive, controlling style are significantly alleviated. This makes the mechanistic structure and style less appropriate. It also makes the continued use of a less controlling, more participative structure and style even more appropriate. What we have said, in effect, is that *it is rather inappropriate and unconstructive to talk about the greater effectiveness of a mechanistic approach as though very mechanistic jobs were always going to be (or had to remain) very mechanistic*. This need not be so.

Fourth: Lawrence and Lorsch (if not also Burns and Stalker) would agree, we think, that their findings basically reflect the way things usually are—not the way they should and can be. By this we mean that mechanistic structures and Theory X practices are used more effectively by many managers and supervisors, whereas less controlling structures and participative, developmental practices could be used more effectively—if managers and supervisors could overcome various obstacles.

Several Obstacles to the Use of Participative, Developmental Practices

If the participative, developmental style can be more effective than the Theory X style where jobs are essentially mechanistic, why do many if not most managers establish structures that tend to elicit Theory X supervisory behavior? And why do many managers behave in a more Theory X than HT,HP manner toward subordinates performing essentially organic jobs (even though an organic structure and style would be more effective)? Several reasons have often been cited by management experts.

A. Mechanistic structures, which include mechanistic job descriptions and control-related practices, are still rather widely equated with operational efficiency, minimization of costs, and simplicity of control. Many managers and leaders have been slow to recognize that (a) development, productivity, and satisfaction are very closely interrelated; and (b) long-term productivity or efficiency really cannot be maximized without also maximizing personnel's on-the-job development and fulfillment.

B. The mechanistic structure and Theory X style are widely used because of their simplicity. Their use does not require a manager to consider the many complex interrelationships among task-related factors, personnel's characteristics, organizational variables, social factors, and forces outside organizations that influence behavior in organizations. Neither does their use require a manager to be proficient at conducting group goal-setting, planning, problem-solving, and decision-making meetings. Nor does it require a manager to (a) possess highly people-oriented attitudes as well as results-oriented attitudes; (b) be aware of and show concern for the needs and feelings of subordinates; or (c) develop and apply sophisticated interpersonal skills. On the other hand, using an organic structure and participative practices is more difficult and does require the development of more sophisticated integrative and interpersonal attitudes and skills.

C. Most managers, supervisors, and leaders have learned and have been rewarded for using traditional Theory X practices and interpersonal behavior. This is partly due to the fact that early managerial and leadership experiences generally occur at lower levels of organizations, where the mechanistic natures of organizational structures and subordinates' jobs tend to elicit Theory X behavior. It is also partly due to the influences of Theory X superiors, whose attitudes and behavior were undoubtedly conditioned in much the same manner.

D. Managers, supervisors, and leaders have learned how to make the Theory X style work fairly well. They have learned to be softer and perhaps more manipulative instead of being traditionally "hard."

E. Over time, personnel have become accustomed to mechanistic jobs, to conventional mechanistic structures, and to the traditional Theory X style. They have learned what to expect from them and how to adapt to them. In the process, they have also learned to accept them.

F. There are certain life-threatening, emergency, or high stress situations in which participative practices must be temporarily suspended in favor of centralized (individu-

al or small group) direction, coordination, and control. We are particularly referring to military combat conditions—conditions under which offensive and defensive situations requiring immediate, decisive, well-coordinated, well-disciplined responses arise constantly.

During combat, leaders may well be able to consult briefly with subordinates concerning strategy and tactics. But because there is not always enough time to conduct effective group planning and decision-making processes, because stress and fear can adversely influence group decisions, and because only those at higher levels have the necessary overview of friendly and enemy force deployments, firepower, and logistics, it is generally necessary for leaders to make expeditious decisions and issue orders. Thus, military leaders are correct, we think, in believing that participative practices can be dysfunctional during combat—especially at the combatant level—and that, for the sake of combat efficiency and the protection of personnel's lives, some must lead (direct) and others must follow (be directed).

Lapses into Theory X behavior under combat conditions are not so much at issue. The issue that might be addressed more fully within the military is whether or not the Theory X style is better than the Theory Y style for developing and maintaining personnel's combat readiness during peacetime. This isssue is so complex that we cannot adequately deal with it here. We should mention, however, what our own and others' military leadership experiences have indicated: that participative practices and "high task, high people" behavior are compatible with efforts to develop and maintain combat readiness. The following are several examples.

Two participative practices contribute to the development and maintenance of discipline. First, personnel's appreciation of the need for discipline can be increased by discussing the possible consequences of undisciplined behavior during combat (such as putting all the squad or platoon members' lives in jeopardy). Second, the following can be pointed out to personnel: (a) that being disciplined is essentially the way people learn to be self-disciplining; (b) that their instructors and superiors are pushing them to their mental and physical limits and disciplining them in order to develop self-dis-cipline; and (c) that they are doing so because they care about them, not simply because they enjoy ordering people around.

Three other Theory Y-related practices contribute to the development, maintenance, and improvement of personnel's familiarity with combat procedures: (a) discussing with personnel the need to have certain standardized procedures that all will understand, even if they are transferred from unit A to unit B; (b) practicing them in the use of time-tested procedures; and (c) encouraging and guiding their participation in formulating, experimenting with, and improving procedures.

In addition, participative/developmental practices and HT,HP interpersonal behavior can also be applied effectively to enrich jobs, to develop job skills, and to increase personnel's fulfillment, morale, loyalty, and cooperation.

G. Although more and more managers and leaders are being introduced to participative concepts and HT,HP behavior, many of those who are accustomed to behaving in a Theory X manner have difficulty adopting a participative style. Some of the reasons are indicated by a study of managerial behavior conducted at Texas Instruments and reported by M. Scott Myers[93] back in 1966.

   The study showed that when Theory Y bosses rated their use of Theory Y practices and interpersonal behavior, and their subordinates also rated them, subordinates' ratings were slightly higher than their bosses' self-ratings. On the other hand, subordinates' ratings of Theory X bosses' use of the Theory Y style were significantly lower than these bosses' self-ratings.

   Apparently, Theory Y managers have a good understanding of the Theory Y style and can therefore recognize and honestly evaluate their use of it. On the other hand, it is apparent that many Theory X managers either (a) do not really understand the Theory Y style and are therefore unable to recognize that they do not use it; (b) do understand the Theory Y style, but, probably due to ego-defensiveness, cannot admit to themselves and others that they do not use it; or (c) do understand the Theory Y style, but are inclined to continue behaving in a Theory X manner for reasons of their own (possibly because they do not really believe in the Theory Y style, and/or because they can better protect and enhance their egos, power, and position by using the Theory X style). For these and other reasons, many Theory X managers are either unable or unwilling to change their practices and interpersonal behavior.

H. Many managers, supervisors, and leaders who have been introduced to the participative approach have not

been able to use or implement it successfully. This can be due to various task-related, individual, organizational, social, and outside factors, which, because they have not been altered so that they exert Theory Y-oriented influences, are continuing to exert Theory X-oriented influences. Numerous studies have shown that top management is generally most responsible for this situation.

In many if not most cases where attempts to implement participative approaches have been unsuccessful, it has been because high-level managers . . .

a. were not familiar enough with Theory Y concepts, participative practices, "high task, high people" behavior, and principles of job redesign;
b. remained Theory X while expecting subordinate managers to implement Theory Y;
c. did not provide subordinate managers and supervisors with adequate training, development, support, and reinforcement;
d. did not guide their organizations through the phases of an effective implementation program—such as the job enrichment program outlined in **Table 3** on the next page: (1) structuring the project; (2) analyzing the work system; (3) analyzing personnel's attitudes, capabilities, and working relationships; (4) formulating plans and procedures for implementing change; (5) preparing personnel to implement change; and (6) actually implementing the transition to the Theory Y-oriented approach;
e. were unaware that not taking these steps could compound existing problems, could disrupt functional job interfaces and interpersonal relationships, and could cause worker dissatisfaction, supervisory anxiety, management/union conflicts, and managerial frustration;
f. expected immediate results (which is very unrealistic); and
g. were therefore confronted with a host of unanticipated problems, lost faith in the project, and failed to see it through to a successful completion.

I. Those who have been unable to make the Theory Y style work effectively have tended to do one of two things: (a) revert to the Theory X style, which they were able to use rather effectively; or (b) somehow combine Theory X and Theory Y practices and interpersonal behavior into a hybrid approach that falls short of Theory Y and cannot be fully effective.

In light of items A through I, it is understandable that a mechanistic structure and the Theory X style are generally used more effectively where jobs are mechanistic (per the findings of Burns and Stalker, Lawrence and Lorsch, and Fiedler). It is also understandable that many managers, leaders, and supervisors still cling to the directive and controlling style that they can use more easily, comfortably, and successfully. In short, it is understandable that things are the way they are instead of the way they should and can be.

Summary

Before proceeding to the second section of Part II, let us briefly summarize several important points brought out in this section.

First: The characteristics of personnel's jobs do indeed influence managerial, supervisory, and leadership behavior. The characteristics of mechanistic jobs contribute to the use of a mechanistic structure and the Theory X style. The characteristics of organic jobs contribute to the use of a more organic structure and a less directive and controlling, more consultive if not participative style.

Second: In terms of maximizing personnel's development, fulfillment, motivation, and performance, participative/developmental practices and "high task, high people" behavior are most effective where jobs are organic, and can be most effective where jobs are (but need not remain) mechanistic—if the use of this approach is planned and implemented properly.

Third: A participative approach can be implemented successfully in most situations if (a) all personnel involved are adequately trained and developed; (b) top management or leadership plans adequately, is patient, and provides the necessary support; and (c) the influences of various task-related, organizational, individual, social, and outside factors are dealt with appropriately and synergistically. We will discuss how this can be done in Part V.

Table 3: Basic Phases, Steps, and Guidelines for Implementing a Theory Y-Oriented Job Enrichment Project

PHASE I: Structure the Project

- Educate line managers, project planners, supervisors, and union representatives in the concepts, strategy, and steps involved in work redesign and the use of participative practices.
- Establish participative policies and procedures that both encourage and enable *all* personnel involved in the project to offer ideas and discuss problems openly during all phases of the project. [It makes little sense to establish an enriched work atmosphere by using authoritarian procedures. Furthermore, the greater the involvement of personnel involved, the greater their opportunity to influence change, the greater their familiarity with the project, the greater their commitment to the project, and the more effectively they will implement change.]
- Formulate a step-by-step project plan that encompasses the analysis, planning, personnel preparation, and implementation steps listed below.

PHASE II: Thoroughly Analyze the Work System

- Determine what is presently wrong with personnel's jobs and performance. [Job redesign may not produce the desired results if, for example, faulty engineering, poor managerial and supervisory practices, and inadequate hygiene factors are not improved also.]
- Determine which jobs *can* be redesigned in a meaningful manner. [In general, jobs can be enriched where there is (a) a high degree of job specialization or differentiation, (b) a duplication of functions, (c) an overly complicated work flow, (d) a labor pool, (e) an unclear division of responsibilities, and/or (f) a dual reporting relationship. Because of various technological constraints, however, some jobs cannot be designed much better than they already are.]
- Brainstorm. Formulate a list of changes that could be made to each target job—without regard to the practicality of these changes.
- Evaluate the meaningfulness of proposed changes and eliminate those that (a) merely upgrade hygiene factors, or (b) "enlarge" rather than enrich jobs. [See Footnote 24.]
- Determine the practicality of making the proposed changes to target jobs. [The practicality of redesigning jobs is often limited—at least in the short term—by various constraints. These include: *technological constraints* such as the capabilities of available equipment and the applicability of available methods; *physical constraints* such as existing plant locations, plant designs, and heavy equipment placement; and *financial constraints* such as the costs involved in (a) modifying, replacing, or adding machinery, (b) changing plant locations or plant designs, and (c) training worker, supervisory, and managerial personnel.]
- Determine how proposed changes to each target job would affect surrounding work systems [i.e., existing interfaces between each target job and (a) both targeted and untargeted jobs in the same unit, (b) both targeted and untargeted jobs in other units, and (c) jobs of outside suppliers, customers, etc.]. Determine what would have to be done to correct or compensate for any dysfunctional effects.

PHASE III: Analyze Personnel's Attitudes, Capabilities, and Relationships

- Determine whether or not worker-level personnel are psychologically ready and willing to perform redesigned jobs.
- Determine the skills and skill levels that will be required by each redesigned target job. Assess workers' present skills and skill levels. Determine the training and development needs of worker personnel.
- Determine whether or not managers and supervisors are sufficiently committed to the project, determined to make it work, and willing to handle the added burdens.
- Determine the managerial skills, interpersonal skills, and interpersonal attitudes that will be required of managers and supervisors involved in the project. Assess the present attitudes and capabilities of these personnel. Determine their training and development needs.
- Anticipate how the project's implementation could affect (a) the attitudes and behavior of workers, supervisors and managers; (b) the attitudes and behavior within worker, supervisory, and managerial peer groups; and (c) organizational relationships with outside suppliers, customers, etc. Determine what would have to be done to correct or compensate for any dysfunctional effects.

PHASE IV: Formulate Plans and Procedures for Implementing Proposed Changes

- Formulate training and development programs.
- Based upon previous analyses, formulate an integrated, step-by-step plan for (a) redesigning target jobs, (b) modifying interfaces between jobs and units, (c) altering boss/subordinate relationships, (d) altering other factors related to the organizational structure and atmosphere, and (e) altering interfaces and relationships with jobs and people outside the organization.

- Based upon previous analyses, anticipate problems that might arise, and formulate contingency plans to resolve them.

- Formulate criteria, methods, and procedures for evaluating project results. [This may involve partly redesigning accounting and control systems in order to evaluate hard-to-measure factors such as (a) personnel's satisfaction and development, (b) productivity and profitability gains (or losses) attributable to the project, and (c) the costs of absenteeism, turnover, quality control, managerial and supervisory time, and training.]

PHASE V: Prepare Personnel to Implement Planned Changes

- Initiate training and development programs for worker personnel whose jobs are to be redesigned.

- Initiate programs to train managers and supervisors in managerial and interpersonal skills and to develop truly HT,HP attitudes toward subordinates.

- Negotiate proposed changes with union representatives *prior to* the implementation of changes, working out issues such as management-union commitment to the project and the criteria, methods, and procedures to be used to evaluate results.

- Prepare all those involved in the project to expect the following: (a) a short-term drop in efficiency (until workers learn their redesigned jobs); (b) some supervisory anxiety and hostility due to changes in their roles (until they learn how to use their time thinking, planning, and training subordinates); and (c) more than the usual amount of burdens and problems (until all personnel have become accustomed to utilizing new systems, procedures, skills, and practices).

- Acquaint managers and supervisors with HT,HP and participative solutions to anticipated attitudinal, behavioral, and procedural problems.

PHASE VI: Implement Planned Changes

- Redesign jobs and implement the use of participative practices.

- Institute changes in information and control systems.

- Continuously evaluate project results.

- Solve problems (or implement contingency plans) as appropriate. [Whereas the general steps and guidelines listed above pertain to the effective application of a moreparticipative approach to mechanistic jobs at the worker level, most of them also pertain to the effective implementation of participative, developmental, job-enriching practices within an entire management or leadership team .]

Influences of Organizational Variables

Although there are many organizational variables, several have particularly significant influences on managerial behavior. One such variable is organizational structure, which we began discussing in the first section because it is affected to a great extent by the characteristics of personnel's jobs. In this section we will describe the ways in which several structure-related variables influence managers' and leaders' styles. These include: their bosses' styles; their colleagues' styles; the natures of their organizations; the growth of their organizations; their levels in organizations; and political maneuvering within organizations.

Rather than describing how managers can be influenced by all the possible styles that can be used by superiors and colleagues, we will use the High Task, High People (Y) style and the High Task, Low People (X) style as examples. We have five reasons for doing so. First, these two styles have already been discussed at some length. Second, unlike the three other styles also described in Table 3 of Part I, they are both highly results-, productivity-, or task-oriented. Third, their effects on managers' behavior are very distinguishable and pronounced. Fourth, their use as examples will amply demonstrate the phenomena involved. Fifth, we wish to point out additional ways in which Theory X and Y managers influence other people's behavior. Occasionally, however, we will refer to the three other distinctive styles—the permissive (low task, high people) style, the middle-of-the-road (medium task, medium people) style, and the nonmanagerial (low task, low people) style.

Superiors' Styles

Like all managers and leaders, their immediate superiors are influenced in some way and to some degree by each factor discussed in Parts II and III. Not only do these factors influence their views concerning which style they should use, but they also influence their views concerning the practices and interpersonal behavior patterns that their subordinate managers or leaders should use. These two sets of views generally correspond, since it is quite human for superiors to feel that the styles they use should also be good enough for their subordinates to use.

Dynamics of Superiors' Influences on Subordinate Managers' and Leaders' Styles

Superiors' views about the style subordinates should use, whether appropriate or not, become their expectations. Their expectations, in turn, are usually reflected in the job descriptions, performance objectives, practices, policies, and procedures that they outline for subordinate managers or leaders to follow. Naturally, by telling subordinates how they are expected to behave, superiors influence subordinates' managerial and leadership styles to a significant degree.

Superiors' day-to-day behavior also influences subordinates' styles. If their behavior is consistent with the expectations they have expressed to subordinates, their actions reinforce their words, thereby reinforcing the behavior they expect. If, on the other hand, their behavior is not consistent with the expectations they have expressed, their actions can speak more loudly than their words, thereby (a) contradicting and not reinforcing stated expectations, and (b) actually reinforcing the behavior indicated by their actions.

In addition to either reinforcing or not reinforcing their expectations, superiors' day-to-day behavior also sets an example. Whether the best example or not, it is often followed, imitated, and learned.

Thus, immediate superiors' expectations, behavior, and examples are all sub-factors related to their styles. Regardless of whether or not these factors may sometimes conflict, their net effect generally influences subordinates to use their bosses' styles.

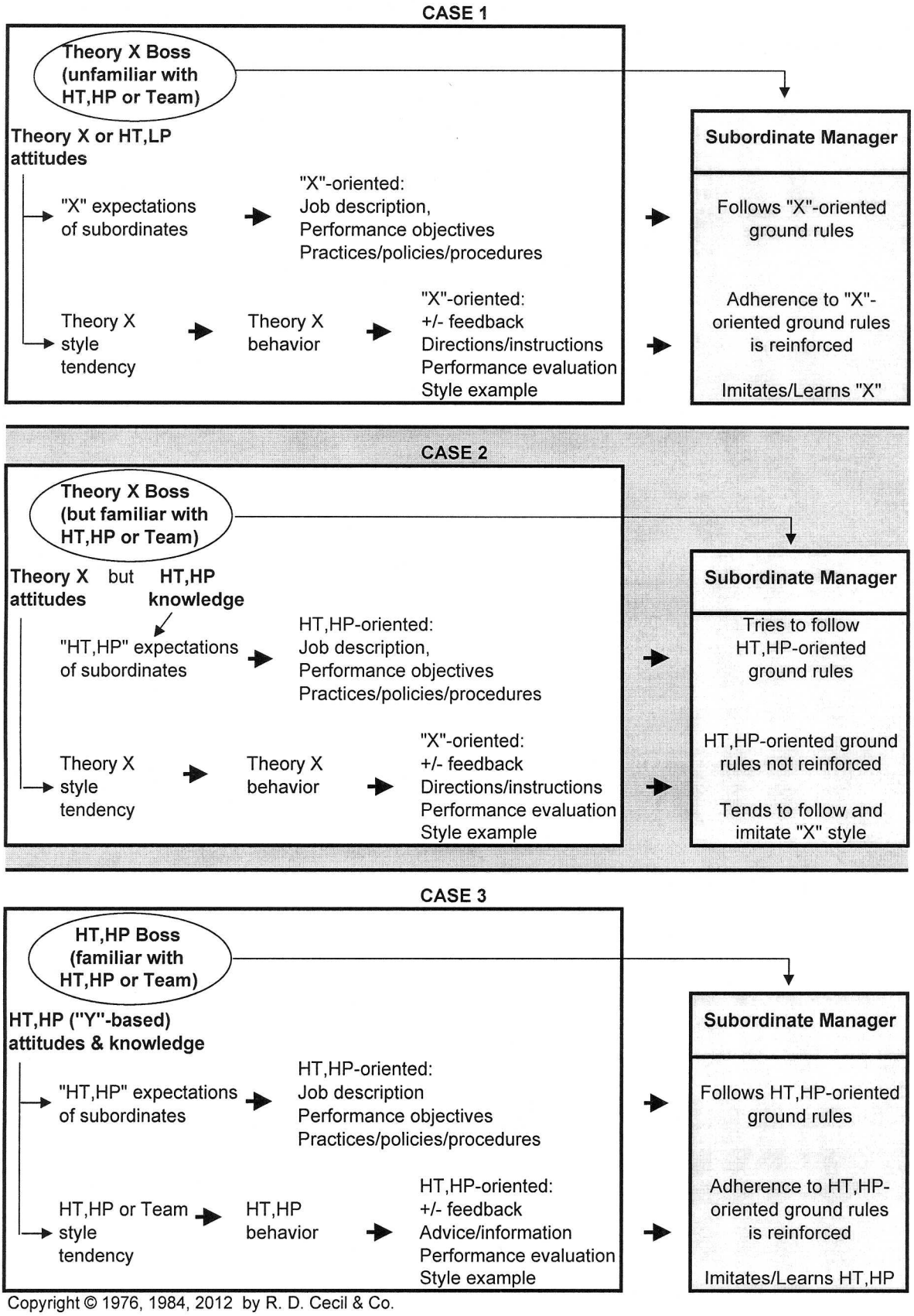
Theory X and HT,HP Superiors' Influences on Subordinate Managers' and Leaders' Styles

The dynamics discussed above are illustrated in the Theory X and HT,HP (Y) examples below.

Theory X Bosses' Influence on Subordinate Managers', Leaders', and Supervisors' Styles

For purposes of this discussion, authoritarian superiors should be divided into two groups: (a) those who are not familiar with Theory Y, participative concepts; and (b) those who are familiar with those concepts, but have remained Theory X (for one or more of the reasons mentioned in Section 1).

Figure 9: Dynamics of Influences of Superiors' Styles on Subordinate Managers' and Leaders' Style Tendencies



Based upon their views and expectations, Theory X bosses who are unfamiliar with Theory Y tend to outline job descriptions, performance objectives, practices, policies, and procedures that emphasize directive and controlling behavior. In their day-to-day contacts with subordinate managers or leaders, they are inclined to reinforce the use of the Theory X style through both positive and negative feedback. They are also inclined to use performance evaluation as a tool for rewarding the use and punishing the nonuse of the expected Theory X style. In the case of these bosses, then, the influence of their Theory X expectations is strengthened by the influence of their Theory X behavior. (See **Figure 9**, Case 1.)

The second group of Theory X bosses, who are familiar with the HT,HP or team approach but have remained Theory X, can conclude that subordinates should use the Theory Y or team style. They can even outline job descriptions, performance objectives, policies, and procedures that contain HT,HP practices. But because they are still Theory X managers either by nature or by habit, they actually (and rather unconsciously) encourage and reinforce use of the Theory X style in much the same manner as the first group of Theory X bosses. In the case of this second group, then, the influence of their Y or team expectations is weakened and probably overridden by the influence of their Theory X behavior. (See **Figure 9**, Case 2.)

Thus, regardless of whether or not they are familiar with the participative or team style, Theory X bosses generally exert pressures that (a) stimulate subordinate managers, leaders, or supervisors to follow, imitate, and learn the Theory X style; and (b) both discourage and hamper subordinates' development and use of the HT,HP style. These pressures are quite often strong enough to override influences of jobs' characteristics, social factors, other organizational variables, outside forces or factors, and personal characteristics that are more conducive to subordinates' use of the HT,HP or partricipative style.

HT,HP Superiors' Influences on Subordinate Managers', Leaders', and Supervisors' Styles

As indicated by the Texas Instruments management survey mentioned in the first section of Part II, team or HT,HP managers and leaders are usually very much aware of their practices and interpersonal behavior. Quite naturally expecting their managerial/supervisory subordinates to use the same style, they encourage and guide subordinates' formulation of job descriptions, job objectives, policies, and procedures that accentuate participative practices and Theory Y interpersonal behavior. In their day-to-day contacts with subordinates, they encourage and guide the use of the team style. In addition, they regularly evaluate performance in terms of both task- and people-oriented objectives. In their case, then, the influence of their expectations is strengthened by the influence of their actual behavior. (See **Figure 9**, Case 3.)

Thus, team or HT,HP superiors create an atmosphere that motivates (rather than pressures) subordinates to develop and use the participative style. Their influence can be strong enough to override the influences of socio-technical factors that are more conducive to subordinates' use of, for example, the Theory X style.

Influences on Managers' and Leaders' Acceptance and Willing Use of a Style

Managers may follow, imitate, and learn their immediate superiors' styles; and they may continue to use them as long as they work for superiors who use them. But this does not necessarily mean that they will accept them, "internalize" them, and continue to use them willingly. Whether or not they will largely depends upon their motivation to do so; and their motivation, in turn, largely depends upon the style involved.

The Texas Instruments survey[95] conducted many years ago also showed the Theory Y style's motivational superiority to the Theory X style. Of all TI managers who were considered highly motivated, 52% had Theory Y bosses, while only 8% had Theory X bosses. Of all those who were considered least motivated, only 8% had Theory Y bosses, while 63% had Theory X bosses. It was also found that both Theory X and Theory Y managers were more highly motivated under participative, developmental, Theory Y superiors. In light of our earlier discussions concerning people's natures and the two styles, these findings are not at all surprising.

In our opinion, the TI findings largely explain why managers tend to follow a Theory Y boss's style very willingly, accept it very readily, and continue to use it when at all possible. The reason: Having experienced high individual and team performance and substantial fulfillment of higher-level needs through its use, they are highly satisfied, motivated, and impressed by it. We have found this to be especially true where managers and leaders have had contact with both X and Y bosses, can compare the two

styles, and can therefore appreciate a boss's use of the Theory Y or team style.

The findings also partly explain why managers can be more reluctant to follow, accept, internalize, and continue to use a Theory X boss's style. The reason: Having experienced good individual performance but relatively little fulfillment of higher-level needs through its use, they are much less satisified, motivated, and impressed by it. Of course, managers may not fully develop or recognize dissatisfaction with a Theory X boss's style unless (a) they have been familiarized with HT,HP concepts; (b) they themselves are HT,HP managers or leaders by nature; and/or (c) they have also had contact with participative superiors, can compare the two styles, and can therefore appreciate the HT,HP approaches' superiority. Unfortunately, many organizations do not have HT,HP bosses who are visible enough for other managers to imitate, learn from, and compare with their Theory X bosses. In fact, too many organizations have very few if any HT,HP bosses (even though some may have the potential). As a result, managers are likely to copy, learn, and perhaps even accept the Theory X style—unless other factors more conducive to the use of the team style are also influencing them.

Several general conclusions can be drawn from the discussion above.

First: Although other factors influence managers' styles to a great extent, the influence of an immediate superior's style is one of the most significant and forceful. Thus, whatever their superiors' styles may be, managers and leaders are often influenced to use them, also.

Second: If their immediate superiors' styles are Theory Y, managers can do each of the following more successfully: (a) develop Theory Y attitudes; (b) learn HT,HP practices and interpersonal behavior; (c) behave in a team or particpative manner; and (d) develop a participative atmosphere within their own units.

Colleagues' Styles

Managers' and leaders' styles are also influenced to some degree by the styles of other managers at the same level in an organization. (Colleagues' styles, too, have been influenced by their bosses' styles, the natures of their subordinates' jobs, and other factors discussed in Parts II and III.) In general, the influences of colleagues' styles on a manager are greatest when (a) their styles are all the same, and (b) the activities and performance of their units directly affect the activities and performance of the manager's unit.

Practices Involving Inter-Unit Interaction and Integration

In keeping with Theory X practices such as personally directing, coordinating, and controlling subordinates' activities, making most decisions, and acting as a unit's central information processor, Theory X managers and leaders also tend to do the following: (a) personally coordinate their units' activities with other units' activities; (b) require their subordinates to channel all inter-unit communication of information, ideas, questions, and requests through them; (c) handle inter-unit conflicts and problems themselves; and (d) discourage similar types of interaction between their subordinates and personnel in other units.

In keeping with the team or Y practices they employ within their own units, HT,HP managers and leaders tend to encourage subordinates to interact in a participative manner with personnel in other organizational units. More specifically, they encourage their subordinates to do the following (within the context of prearranged guidelines): (a) exchange information and ideas freely with members of other units; (b) plan and coordinate certain interrelated activities with personnel in other units; (c) formulate joint solutions to certain inter-unit problems; (d) resolve interpersonal conflicts with members of other units; and (e) cooperate with members of other units in similar ways.

Influences of Theory X and HT,HP Colleagues

Theory X and participative practices involving inter-unit interaction and integration are not only different, but they also conflict. Therefore, as we look at the influences of Theory X and HT,HP colleagues, we must also take into account the style of the particular manager or leader being influenced.

Influences of Theory X Colleagues

Theory X Manager / Theory X Colleagues: If a particular manager is inclined to use the Theory X style (due to the influences of other factors), and if colleagues' styles are all Theory X, then colleagues' practices tend to reinforce the manager's style. The manager's practices also tend to reinforce theirs. In this case, both the manager and his or her colleagues require their subordinates to come to them to handle inter-unit matters (just as they require subordinates to come to them regarding their units' internal matters). This mutually-reinforced use of Theory X practices is likely

to be perpetuated unless there are significant changes in other influential factors (such as superiors' styles, the nature of the organization, and the natures of the managers involved).

Theory Y Leader / Theory X Colleagues: If, on the other hand, the leader is inclined to use the HT,HP approach (due to the influences of other factors), but colleagues' styles are all Theory X, then colleagues' practices can impair the effectiveness with which the leader can implement participative practices within his or her own unit. For example: By requiring their subordinates to channel inter-unit communications through them, Theory X colleagues prevent direct interaction between their subordinates and the leader's subordinates. As a result of colleagues' warnings that the leader keep his or her subordinates from communicating directly with their subordinates, the leader may find it necessary to adopt the same restrictive Theory X practice if his or her unit's activities are to be integrated successfully with the activities of colleagues' units. If many activities within the leader's unit involve activities in other units, thereby requiring many communications to be channeled to and through the leader, then he or she may behave in a more Theory X than HT,HP manner as a result.

Influences of HT,HP or Participative Colleagues

Team Manager / Theory Y Colleagues: If a manager is inclined to use the team style (due to the influences of other factors), and if colleagues' styles are all HT,HP or participative, then both the manager and his or her colleagues will be encouraging direct interaction between their subordinates (just as they do within their own units). In this case, colleagues' practices reinforce the manager's inclination and ability to develop, implement, and maintain a participative, team atmosphere within his or her unit and between units. Conversely, the manager's use of the team style also reinforces colleagues' inclination and ability to use it. In short, their styles are mutually reinforcing.

Theory X Leader / HT,HP Colleagues: If, on the other hand, the leader is inclined to use the Theory X style (due to the influences of other factors), but colleagues' styles are all HT,HP, then colleagues' practices do not reinforce his or her style. Rather, they tend to exert opposing pressures on the leader. For example: In order to assure that the effectiveness with which they can implement HT,HP practices within their own units is not undermined by the leader's Theory X practices, colleagues may pressure the leader to use more team-oriented practices. Colleagues' superiors may do likewise. Even the leader's own subordinates, observing the examples of HT,HP leaders, may subtly pressure the leader to alter his or her practices and permit them to interact more freely both among themselves and with members of other units. These and other pressures can be great enough to influence the leader to adopt at least some participative practices.

Influences of Mixed Theory X and HT,HP Styles

When their colleagues' styles are mixed—some Theory X and some Theory Y—managers and leaders are faced with mixed and conflicting influences. In these circumstances, they could either (a) use predominantly Theory X practices; (b) use predominantly HT,HP practices; (c) use some combination of Theory X and HT,HP practices; or (d) use those practices that best fit specific relationships with specific colleagues and their units. What managers or leaders actually do depends upon many other factors: (a) how many colleagues use Theory X practices and how many use HT,HP practices; (b) the degree of interdependence between their units and each of their Theory X and Theory Y colleagues' units; (c) the natures of their own subordinates' jobs; (d) their own immediate superiors' styles; and (e) the styles that they themselves are more or less inclined by nature to use.

Two general conclusions can be drawn from the discussion above.

First: Whatever their colleagues' styles may be, managers and leaders can be influenced to use at least some of the practices and interpersonal behavior patterns associated with those styles.

Second: The HT,HP approach can be more successfully developed, implemented, and maintained within a management or leadership team if all members are trained in and encouraged to use HT,HP practices and interpersonal behavior.

Natures of Organizations

The nature of an organization normally falls within one of four general categories: (a) permissive/associative; (b) participative, organic, or democratic; (c) directive and controlling, authoritarian, bureaucratic, or mechanistic; and (d) dictatorial or autocratic. Almost any type of organization can fit into each of these categories, whether it is a corporation, partnership, proprietorship, government agency or bu-

Table 4: General Relationships Between Organizations' Natures, Characteristics, and Pervasive Managerial or Leadership Styles

ORGANIZATIONAL NATURE	PERMISSIVE, ASSOCIATIVE		PARTICIPATIVE, DEMOCRATIC		DIRECTIVE AND CONTROLLING (AUTHORITARIAN)			DICTATORIAL, AUTOCRATIC
	VOLUNTEER	OTHER	ORGANIC	OTHER	BUREAUCRATIC	MECHANISTIC	OTHER	
Pervasive managerial or leadership style	"1,9" or LT,HP Permissive	"1,9" or LT,HP Permissive	"9,9", Y or HT,HP Participative	"9,9", Y or HT,HP Participative	"9,1", X or HT,LP Authoritarian	"9,1", X or HT,LP Authoritarian	"9,1", X or HT,LP Authoritarian	"9,1", X or HT,LP Autocratic
Structural character	Informal	Informal	Organic	Organic	Mechanistic	Mechanistic	Mechanistic	Mechanistic
Where power, authority, and responsibilities for organizational integration and control lie	Ultimate power lies in a cause or idea (often expressed in an organizational charter	Ultimate power generally lies in a charter. Managers or leaders exercise little positional authority.	Ultimate power generally lies in an organizational charter. Authority and control responsibilities lie in the structure; but power, influence, and responsibilities are shared by managers or leaders with their personnel		Ultimate power generally lies in an organizational charter. Power, authority, and responsibilites for organizational integration and control are diffused throughout a formal structure and are exercised solely by a hierarchy of managers, leaders, or administrators.			Ultimate power lies with person at the top. Positional authority is exercised by lower-level leaders or managers.
TYPICAL CHARACTERISTICS								
Natures of most personnel's jobs	Essentially mechanistic	Essentially organic	Essentially organic	Can be mechanistic or organic	Essentially mechanistic	Essentially mechanistic	Can be mechanistic or organic	Essentially mechanistic
Levels of authority	Few	Few	Few	Few	Many	Many	Many	Generally many
Ratio of administrative or leadership personnel to workers or followers	Rather low	Relatively high	High	Can vary from high to low	Low	Low	Low	low
Managerial or leadership authority or influence depends mostly upon:	Importance or rightness of the cause or idea	Little positional authority is exercised	Expertise	Expertise	Position	Position	Position	Position
Degree of centralization in decision making	Low	Low	Low	Low	High	High	High	Very high
Quantity of formal rules, policies, and procedures	Few	Few	Relatively Few	Relatively Few	Many	Many	Many	Many
Contents of managerial or leadership communications	Advocacy, information, advice	Advice, information, social	Advice, information	Advice, information	Instructions, decisions	Instructions, decisions	Instructions, decisions	Orders
TYPE OF ORGANIZATION	Volunteer, fund-raising, public service, and community action groups or organizations	Scientific and medical research organizations	Business organizations dealing with unstable markets and/or technologies	Other types of Organizations where all personnel share influence and responsibilities	Traditional military organizations; traditional governmental agencies and bureaus	Traditional industrial organizations dealing with rather stable markets and/or technologies	Other types of organizations that have become highly structured	Traditional political and military dictatorships
POSSIBLE EFFECTS OF GROWTH FROM SMALL TO LARGE OR VERY LARGE SIZE (when traditional methods of structuring a growing organization are used)	(X) ----		(X) ----	► (X) ----	X ◄ ----		► X	---- (X)
				► (X) ----			► X	
				► (X) ----			► X	

reau, military organization, public service organization, politically active group, religious organization, or youth group. However, as indicated in **Table 4**[96], certain types of organizations typically have certain characteristics, certain natures, and certain pervasive managerial, administrative, or leadership styles.

Before describing organizations having different natures and discussing their influences on managerial and leadership behavior, we should mention a phenomenon observed by numerous management researchers and practitioners.

In many organizations, the style of the individual at the very top tends to filter down throughout the entire organization. This phenomenon can often be traced to several factors already discussed. First: The views of the person at the very top are influenced by factors such as the natures of jobs (worker-level jobs as well as managerial jobs) and the natures of personnel (as that individual perceives them). These views are not only reflected in the top individual's style, but they also tend to be reflected in the overall organizational structure, which he or she is in a position to influence greatly. Second: Together with the organizational structure, the top individual's style tends to influence the styles of his or her immediate subordinates—whose styles tend to influence their subordinates' styles—and so on down through the organization. Third: The vertical influence of the top individual's style tends to be reinforced horizontally as colleagues' styles (at various levels) influence each others' styles.

Permissive/Associative Organizations

A permissive and associative (congenial) atmosphere is rather typical of volunteer organizations such as fund-raising charities, public service groups, and community action groups. In these organizations, power does not actually lie in leadership or administrative positions. Instead, it lies in the cause or idea that the organization was formed to further. The basic functions of leaders or administrators are to advocate the immediacy, importance, or rightness of the cause and to offer members advice and information regarding furtherance of the cause. As noted in **Table 4**, volunteer organizations also tend to have the following char-acteristics: (a) a high proportion of essentially mechanistic jobs; (b) few levels of authority; (c) a rather low ratio of administrative or leadership personnel to workers or followers (e.g., 1 to 15, or .07); (d) a low degree of centralization in decision making; and (e) relatively few formal policies, rules, and procedures.

A permissive/associative atmosphere is seldom found throughout most businesses, government agencies, and other nonvolunteer organizations. It can be found, however, in whole organizations engaged in pure and/or applied scientific or medical research (where jobs are highly uncertain due to highly unstable technological forces both inside and outside such organizations, and where outputs or results are produced over long periods of time). It can also be found in research units of many organizations and in units whose managers are highly permissive.

Where a permissive atmosphere can be found throughout an entire nonvolunteer organization, several conditions normally exist: (a) most jobs are essentially organic (if not highly organic); (b) there are few levels of authority; (c) the ratio of administrative or managerial personnel to other personnel is relatively high (e.g., 1 to 5, or .20); (d) managerial or administrative influence depends mostly upon expertise; (e) managers or administrators are not particularly inclined to exercise their positional authority; (f) productivity or performance receives less emphasis than congenial, associative intra- and inter-group relations; (g) there is a low degree of centralization in decision making; (h) there are few formal policies, rules, and procedures; and (i) managers' or administrators' communications to subordinates have an advisory, informative, and social nature.

Whether they fall into the "volunteer" or "other" category in Table 4, permissive organizations foster permissive, informal, associative relations between managers, administrators, or leaders and their personnel or followers. This atmosphere promotes and reinforces permissive structural relationships and the pervasive use of a permissive, informal style.

Participative, Organic, or Democratic Organizations

A more HT,HP style tends to pervade highly participative, organic, or democratic organizations. In these, ultimate power generally lies in an organizational charter. Authority and responsibilities for organizational integration and control are vested in managerial or leadership positions. Managers and leaders, however, share their influence and responsibilities with their personnel or followers. Such organizations are also characterized by the following: (a) a high proportion of essentially organic jobs; (b) few levels of authority; (c) a high ratio of managerial or leadership personnel to workers or followers (e.g., 1 to 4, or .25); (d) expertise-based managerial or leadership influence; (e) relatively decentralized decision making; (f) few formal poli-

cies, rules, and procedures; and (g) advisory or informative communicatons to subordinates or followers.

Although it is possible to find this atmosphere in almost any type of organization, it is more likely to be found in private enterprise organizations dealing with highly competitive, unstable markets and/or rapidly advancing, highly unstable technologies.

Where a participative, organic, or democratic atmosphere does exist, use of the HT,HP approach is promoted and reinforced.

Note: Most social organizations or clubs that are formed for purely social reasons fall somewhere on a continuum from permissive/associative to participative/democratic. They can therefore be described as "associative/democratic" in nature.

Directive and Controlling Organizations

A more or less Theory X style, of course, tends to pervade directive and controlling (authoritarian) organizations. Ultimate power generally lies in these organizations' charters, too. But in their case, authority and responsibilities for organizational integration and control are diffused throughout a formal (mechanistic) structure and are exercised solely by a hierarchy of managers, administrators, or leaders. These organizations usually have the following additional characteristics: (a) a high proportion of essentially mechanistic jobs; (b) many levels of authority; (c) a low ratio of managerial or leadership personnel to workers or followers (e.g., 1 to 20, or .05); (d) position-based managerial or leadership authority; (e) highly centralized decision making; (f) many formal policies, rules, and procedures; and (g) the communication of decisions and instructions (or orders) to subordinates.

Some examples of organizations that typically fit this description are: (a) traditional military organizations, whose natures can be called "authoritarian"; (b) traditional government agencies and bureaus, whose natures can be called "bureaucratic"; (c) traditional, highly structured industrial organizations dealing with relatively stable markets and/or technologies, whose natures can be called "mechanistic"; and (d) "other organizations" that are (usually) very large and highly structured and can be called either "authoritarian," "bureaucratic," or "mechanistic."

Naturally, the atmosphere within these organizations tends to promote and reinforce the use of a more or less Theory X style.

Dictatorial or Autocratic Organizations

The Theory X style is very definitely associated with dictatorial or autocratic organizations, wherein ultimate power lies wholly in the hands of the dictator, autocrat, or boss at the top. This individual exercises complete authority to make decisions, to direct any or all activities of those under his or her control, and to establish many formal policies, regulations, and procedures.

Such an atmosphere sometimes exists under an autocratic owner/manager of a business. It can also exist in a relatively mild form under benevolent dictators and monarchs. In the extreme, it exists under malevolent dictators, monarchs, or autocrats whose power is absolute, unrestricted, and maintained by force, and whose decisions, having the force of law, are passed down through the organizational hierarchy in a dictatorial manner.

Thus, in a dictatorial or autocratic atmosphere, lower-level managers, administrators, or leaders can virtually be prevented from developing and using any style other than the Theory X style.

Growth of an Organization

Continual growth of an organization does not always result in its eventually becoming a highly structured, directive and controlling, or authoritarian organization. This result, however, is not at all unusual, especially when traditional means of coping with certain problems incident to growth are used.

Traditional Adjustment to Growth

Organizational growth is normally accompanied by an increase in the number of personnel or followers. As numbers increase, there eventually comes a time when one or more managers, administrators, or leaders can no longer integrate and control the increasing number of jobs and activities effectively. They may therefore cope with the resulting problems in the traditional manner—by delegating some of their responsibilities and authority to a newly-formed, lower echelon of managers, supervisors, or leaders. In the process, new reporting relationships are established, the number of levels of authority and integrative responsibility is increased, and the organization becomes more structured.

Growth can also be accompanied by an increase in the differentiation (specialization) of jobs. Specialized jobs are generally interdependent and require coordination. As specialization increases, there can come a time when one or more individuals can no longer provide effective coordination. They may therefore cope with the resulting problems in the traditional manner—by organizing technically or functionally similar jobs into separate specialized units, each headed by an individual responsible for coordinating and controlling activities within his or her unit. Here again, additional reporting relationships are established, the number of levels of authority and integrative responsibility are increased, and the organization becomes more structured.

Thus, if an organization continues to grow, and if increasing numbers of personnel and/or increasing specialization are consistently handled in the traditional manner, the organization not only becomes very large, but it also tends to become very highly structured, hierarchical, bureaucratic, and conventionally directive and controlling. Again, this organizational atmosphere tends to promote and reinforce the use of a more or less Theory X style.

As shown at the bottom of **Table 4**, when continual growth is handled in the traditional manner by a volunteer organization, power can tend to shift from the cause or idea to a hierarchy of administrative or leadership positions. When growth is handled in the traditional manner by an initially participative, organic, or democratic organization, influence and integrative responsibility can tend to shift from all members or personnel to a hierarchy of managerial or leadership positions. When growth is handled in the traditional manner by a dictator or autocrat, power and authority can eventually become diffused throughout a hierarchy or bureaucracy.

Nontraditional Adjustment to Growth

We do not mean to imply that it is inappro-priate to grow, to build an organization, or to organize jobs and people. On the contrary. Growth is healthy; and organization is a key to success. The issue being raised is how to cope with growth. An organization need not become overly structured and conventionally directive and controlling. There are alternative, nontraditional means for coping with the problems that accompany growth.

Participative, developmental, "high task, high people" practices constitute the nontraditional means. For example: Problems arising from an inability to integrate and control increasing numbers of personnel can be reduced by creating a participative atmosphere in which personnel can become more self-directing, self-coordinating, and self-controlling. Likewise, problems arising from an inability to coordinate increasingly specialized jobs can be reduced by utilizing participative practices that enable personnel to coordinate their own activities (among themselves) to a greater extent. Granted, some structuring becomes necessary even when participative practices are used. But the point is that team-oriented, participative HT,HP practices keep an organization from becoming overstructured, while at the same time encouraging and reinforcing continued use of participative practices and "high task, high people" behavior.

Managers' or Leaders' Levels in Organizations

Managers' levels in organizations influence not only their styles, but also their motivation on the job. First we discuss the influences on their styles.

Influences of Levels on Styles

As shown in Figure 2 on page 11, the nature of a particular manager's job is partly a function of his or her level in an organization. Since the natures of other managers' jobs are also a function of their levels, and since a particular manager's subordinates, boss, and colleagues are at one level lower, one level higher, and the same level respectively, it can be said that the natures of his or her subordinates', boss's, and colleagues' jobs are also a function of his or her level in the organization.

Up to this point, the natures of subordinates', bosses', and colleagues' jobs and their influences on managerial and leadership behavior have been discussed in somewhat separate contexts. Here these factors can be discussed briefly within a single context, since they all play a part in determining how managers' and leaders' levels in organizations influence their styles.

Influences on Styles at Upper Levels

Typical upper-level managers' jobs tend to be "very organic." Their immediate subordinates' middle management jobs tend to be "essentially organic." Their colleagues' jobs tend to be "very organic." Their superiors' top management

jobs tend to be "highly organic." On balance, then, upper-level managers are surrounded by very organic conditions. (By "conditions" we mean the characteristics of certain jobs and the inherent relationships between those jobs—not the atmosphere that can exist due to the use of a particular structure and associated managerial or leadership style.) These "very organic conditions" tend to influence upper-level managers to behave in a more participative than Theory X manner. Indeed, they tend to influence them to behave in the least Theory X, most consultive if not participative manner of all managers in organizations except top managers.

As we have seen, however, the organic structure and the associated participative style that can develop under these conditions do not always emerge (often because of obstacles mentioned earlier). Therefore, it must be acknowledged that the influences of "very organic conditions" can be overridden if (a) the natures of managers' organizations are actually very authoritarian, bureaucratic, or mechanistic (due, perhaps, to a high proportion of mechanistic tasks throughout their organizations, or to their top managers' styles being Theory X); (b) their bosses' and colleagues' styles are Theory X; (c) their own natures, attitudes, and behavioral tendencies are "high task, low people"; and (d) other influential factors are more conducive to their use of the Theory X style.

Influences on Styles at Low Levels

Typical low-level managers' jobs tend to be "somewhat organic." Their immediate subordinates' supervisory jobs tend to be "rather mechanistic." Their colleagues' jobs tend to be "some-what organic." Their bosses' middle management jobs tend to be "essentially organic." On balance, then, it would seem as though low-level managers are surrounded by somewhat organic conditions that would tend to influence them to behave in a somewhat consultive if not participative manner. This, however, is not necessarily the case. There is one more, very important condition involved: low-level managers' jobs, although somewhat organic, revolve around the integration of mechanistic worker-level jobs—and do so to a much greater extent than do higher-level managers' jobs. This condition exerts a substantial Theory X-oriented influence that can more than offset the more Theory Y-oriented influences of the "somewhat organic conditions." As a net result, typical low-level managers tend to be influenced to behave in the most Theory X, least Theory Y manner of all managers in their organizations.

As pointed out earlier, however, the overall influence of the above conditions can be overridden if (a) the natures of these individuals' organizations are very organic (due, perhaps, to an atypically high proportion of organic jobs at worker levels); (b) their bosses' and colleagues' styles are Theory Y; (c) their own natures, attitudes, and behavioral tendencies are Theory Y-oriented; and (d) other influential factors are more conducive to their use of the HT,HP style.

Influences on Styles at Middle Levels

Typical middle managers' jobs tend to be "essentially organic." Their immediate subordinates' low-level management jobs tend to be "somewhat organic." Their colleagues' jobs tend to be "essentially organic." Their superiors' upper-level management jobs tend to be "very organic." On balance, then, middle managers are surrounded by essentially organic conditions. These conditions tend to influence them to behave in a less Theory X manner than low-level managers, but a less participative or HT,HP manner than upper-level managers.

The influence of these conditions, however, can be overridden if middle managers' own natures and attitudes, the natures of their organizations, their bosses' and colleagues' styles, and other influential factors are more conducive to their use of either a more Theory X style or a more Theory Y style (or perhaps even another style).

Influence of Level on Managers' and Leaders' Motivation

As a result of the Texas Instruments survey mentioned several times earlier, Scott Myers identified relationships between managers' motivation levels and their levels in the organization.[97] These relationships, we have found, are fairly typical in organizations—especially large organizations.

Myers found that, at upper levels, there was the highest percentage of highly motivated managers (57%) and the lowest percentage of least motivated managers (12%). At lower levels, on the other hand, there was the lowest percentage of highly motivated managers (23%) and the highest percentage of least motivated managers (34%).

Myers attributed this situation to several factors. First, upper-level managers are in positions to make key decisions regarding organizational performance, and, therefore,

tend to derive greater satisfaction from their jobs. Second, in getting to upper levels, these managers have experienced the satisfaction of personal growth and achievement, increased responsibility, and greater status and recognition.

This explanation can be translated easily into the terms used earlier in Parts I and II: Upper-level management and leadership jobs tend to be more organic than lower-level management and leadership jobs. Being more organic, they contain more motivator factors that provide more opportunities for fulfillment of high-level needs (ego and self-actualization needs). This makes them more inherently satisfying and motivating.

Organizational Politics

In an organizational context, political behavior can be defined as any behavior that is aimed at either protecting or increasing one's power, authority, influence, position, or status within an organization.

Specific examples of behavior that can be politically motivated are listed in **Table 5**[98] on page 46. To some persons, many of these examples will seem to be commonsense, practical ways of dealing with people and getting along in organizations. To other persons, many will seem to be manipulative and unethical. How they are viewed depends largely on the viewer's value system—that is, the relative importance that he or she attaches to political (power-related) matters vis-a-vis intellectual, economic, social, religious, and aesthetic matters. It remains, however, that each example listed is politically oriented when used (either consciously or unconsciously) to protect or enhance one's power or position.

Users of Political Maneuvers

It is human nature to try to control or at least influence one's environment so as to satisfy various personal motives (needs/drives, values, goals, interests). Whose motives are satisfied—and whose are not—actually depends upon many factors. Among them are the relative capabilities of individuals, their relative power or authority, and the manner in which they resolve their conflicts.

In regard to the last factor, it has been said that when two people's needs, interests, or goals conflict, it is possible for them to arrive at a compromise through which neither wins nor loses. On the other hand, when three (or more) people's needs, interests, or goals conflict, it is possible for two to work out a mutually agreeable compromise, but the third can lose (something) in the process.

Such conflicts are commonplace in everyday life. Sometimes one wins. Sometimes one must compromise in order not to lose. Sometimes one loses. In any event, each individual must play the game—in his or her own way.

So it is in organizations, too. Thus, if individual managers or leaders occasionally display some of the behavior listed in Table 5, they are not necessarily political maneuverers. But when they consistently employ most if not all of that behavior, their pattern of behavior and their underlying motives are unmistakably political.

Certain individuals are more likely than others to use the politically oriented patterns of behavior listed in Table 5. These are individuals who (a) have higher than average ego needs—especially the needs for power, success, and prestige; and (b) have higher than average political and economic values and lower than average social (altruistic) values. Such persons tend to be much more concerned about their own success, need fulfillment, and ability to influence the environment than about others'. Since they value political and economic (material/monetary/practical) matters rather highly, they also tend to regard political behavior as practical, commonsensical, and justifiable. Because of these traits and attitudes, they are inclined to protect and increase their power, position, success, and prestige—often at the expense of others and of organizational objectives.

There are also those who want to get ahead, but cannot because of their underdeveloped capabilities and rather unimpressive performance records. Instead of developing themselves and actually improving their performance, many of these individuals take the easy way by turning to political maneuvering.

Contributory Circumstances

Whether or not and to what degree especially ambitious individuals actually engage in political maneuvering largely depends upon circumstances within their organizations. The following are three major circumstances that contribute to polit-ically oriented behavior.

First: Organizations are structured like pyramids, with fewer jobs at each successively higher level. Thus, there are fewer promotional opportunities as one climbs the organi-

Table 5: Specific Examples of Behavior That Can Be Politically Motivated [40]
(which together constitute a politically oriented pattern of behavior)

1. Actively influencing decisions being made regarding one's career development within the organization.
2. Tactfully nominating oneself for more powerful or influential positions (which are not always high-level or higher-paying positions).
3. Striving for highly visible positions where successes can be observed by superiors.
4. Expanding one's job, responsibilities, and influence by absorbing the functions (and titles) of other individuals.
5. Securing a clear definition of one's responsibilities and authority so as to determine exactly what should and should not be done, what can and cannot be done, and how to protect oneself when necessary.
6. Carefully probing the limits of one's power or influence.
7. Developing personal compatibility with superiors in order to minimize clashes that could reduce one's power or influence,
8. Establishing alliances with powerful superiors in order to win favor, build support, and increase personal influence.
9. Attaching oneself to the coattails of a superior who is on his way up and will take a protége up with her.
10. Establishing alliances with colleagues in order to gain support and influence,
11. Seeking authority to approve budgets so that the "power of the purse" can be used to reward others' support and punish their lack of support.
12. Seeking control of the collection, processing, and dissemination of information in order to possess all the facts and data, counter others' opinions and arguments with the facts, be the only one who is able to interpret data and report formats, and, in effect, be indispensable and irrefutable.
13. Hiring or selecting subordinates who will make one look good, but either cannot or will not threaten one's personal position or power.
14. Training a replacement as quickly as possible, thereby making oneself available to fill advantageous job openings.
15. Closely directing, monitoring, and controlling subordinates' activities in order to minimize personally embarrassing situations.
16. Closely monitoring superiors', subordinates', and colleagues' activities in order to identify potential threats to one's power or position.
17. Avoiding close personal relationships with subordinates.
18. Not committing oneself completely or irrevocably to anything especially in public -- so as to be able to change course when necessary without appearing indecisive or mistaken in judgment.
19. Stalling when one disagrees with a plan or idea so that it will eventually go away without requiring definitive personal action.
20. Being ruthless when expedient.
21. Being able to say "no" to others' requests—at least initially—so that a "yes" can be given when expedient (a "yes" being harder to revoke than a "no").
22. Compromising on small matters, especially when it will increase others' indebtedness and one's own future bargaining power.
23. Not confiding to anyone (either inside or outside the organization) what one does not want to become common knowledge.
24. Not depending upon subordinates' loyalty, which can shift to someone else.
25. Selling oneself and putting on a self-confident face even when not really knowing what one is doing.
26. Praising others and telling them what they want to hear -- in order to win favor, loyalty and support.
27. Using symbols of personal success, status, and power to develop and reinforce this image in others' minds
28. Bending the rules when it is expedient -- in order to win or to maintain subordinates' allegiance, for example.

zational ladder. This is particularly true in organizations that are not growing and expanding, and, therefore, are not creating new vertical and horizontal job openings that provide opportunities for promotion. Under these circumstances, competition among the ambitious can become very keen, the result quite often being a great deal of political maneuvering and infighting.

Second: An atmosphere conducive to political behavior is created in organizations where (a) there are few if any opportunities for, and little if any encouragement and guidance of, personnel's development of technical, managerial, and interpersonal capabilities; and (b) personnel are rewarded and promoted more on the basis of their use of power than on the development of their subordinates' potentials, the development of their own potentials, and the effective application of their own capabilities. Such an atmosphere is much more typical of mechanistic, Theory X organizations than participative, developmental, Theory Y organizations.

Third: In organizations where there is an atmosphere of distrust and uncooperativeness, personnel are more likely to (a) be insecure, (b) look out only for themselves, (c) try to protect and increase their power, status, and job security, and (d) take advantage of (or create) opportunities to get ahead—often at others' expense. Such an atmosphere is much more likely to exist in a mechanistic or bureaucratic, Theory X organization than in a participative, team-oriented organization.

Basic Implications for Styles

Theoretically, political maneuvering should not be necessary in organic-democratic organizations. But, because managers and leaders are human and conflicts do occur, some politically oriented behavior exists even in these organizations.

Political maneuvering is much more prevalent, however, in mechanistic or bureaucratic, Theory X organizations. In fact, by comparing the behavior described in Table 5 with the Theory X behavior patterns described in Table 3 (page 30 of Part I on Styles), one can see that the two sets of behavior patterns correspond very closely in many respects. Thus, it should come as no surprise that, based upon their extensive research, Burns and Stalker concluded that a mechanistic structure (which essentially involves Theory X practices) is used by individuals and groups largely to protect (and increase) their existing status and positional authority, rather than to further organizational objectives.99

In short, then, politically oriented behavior is rather characteristic of Theory X managers and mechanistic, authoritarian, bureaucratic organizations. More important, though, it is basically incompatible with the spirit and intent of the Theory Y style. It tends to undermine an atmosphere of mutual trust and cooperation and to reinforce the use of Theory X practices and interpersonal behavior.

Summary

Although we have not discussed all the organizational variables that can influence managers' and leaders' styles, we have covered those that tend to be the most influential. Given the points raised in the discussion above, several concluding generalizations can be made.

First: Organizational factors exert very significant and substantial influences on managerial, leadership, and supervisory behavior.

Second: Individual managers and leaders can develop and use the Team or HT,HP style more easily and successfully when their bosses' and colleagues' styles, the natures of their organizations, and other organizational factors systematically exert HT,HP influences.

Influences of Social Factors

In some direct or indirect way and to some degree, managerial and leadership behavior patterns are influenced by the many socially oriented factors that either constitute, affect, or otherwise relate to the social behavior of all individuals and organized social groups. Among these social factors are the following: (a) the characteristics of interpersonal interactions; (b) the natures of interpersonal relationships; (c) the dynamics of social groups' formation; (d) the status and roles of members of social groups; (e) the norms (attitudes and expected modes of behavior) that social groups develop to maintain themselves, to deal with conflicts, to enhance and protect their image, and to influence the behavior of outside individuals and groups; and (f) the social sanctions that groups use to enforce their norms. In this section we discuss the influences of these and other socially oriented factors on managerial and leadership behavior.

In the first part of this section we establish a basic frame of reference by discussing the following in general terms: (a) group membership; (b) groups' norms and sanctions; and (c) the relative extent to which groups influence members and outsiders. Having established general perspectives on social influences, we then discuss the natures of particular groups' influences on individuals' managerial or leadership styles.

Group Membership

Managers can be members of one or more social groups within their organizations. Before noting some of the possibilities, we take a brief look at some of the factors involved in an individual's becoming a member of a social group.

Factors Involved in Becoming a Member of a Social Group

To understand why and how an individual becomes a member of a particular social group, one must consider many factors: (a) the individual's personal characteristics; (b) the personal characteristics of group members; (c) the group's attitudes and ways of doing things; and (d) the environment in which the individual and group members interact. (It should be noted that a few more factors are involved in becoming a member of a group that has already been formed than are involved in becoming a member of a group that is in the process of forming. In the latter case, group-oriented attitudes and behavior patterns have had less opportunity to evolve, crystallize, and become major factors in member admission processes.)

Keeping the above in mind, we can say the following about people and social groups in general.

Personal characteristics such as abilities, values, interests, goals, physical traits, personality traits, and basic needs/drives are all major influences on individuals' group memberships.

First, people's motivation to associate with and join any social group is mostly underlain by basic social and ego needs. Their personality traits are also involved. If, for example, they are relatively high in sociability (are socially extroverted rather than socially introverted), they have a greater tendency to approach, associate with, and join groups.

Second, personal characteristics influence which groups people associate with and join. In general, individuals are more likely to gravitate toward groups with whom they share (or think they share) one or more abilities, interests, values, personality traits, and goals that are important to them. It is in such groups that they will tend to experience more positive than negative feedback when interacting with other members. Motives and personality traits are important in a related respect. If, for example, particular individuals value power or influence highly and are relatively high in self-assertiveness, they tend to gravitate toward either or both of the following groups: (a) groups in which they could have considerable status and could play leadership roles; and/or (b) groups having high status or prestige that would enhance their own.

Third, the motives and other characteristics of groups' members are also very much involved. In general, people are more likely to accept a prospective member into their group the more that (a) his or her characteristics correspond to those they value most, and (b) his or her characteristics and organizational status enhance their self-image and influence vis-a-vis other groups. It must be acknowledged, however, that conflict among group members can develop if some perceive that a prospective member's potential status in the group and possible role(s) could threaten their own. For example: While most group members might want to admit a person having high organizational status and obvious leadership potential, the group's social or task leader might try to discourage admittance, fearing the possible loss of that role to the prospective member.

Job-related factors are involved, too. For example: The closer together an individual and a group's members work (because of work flow or work area layout), and the more frequently they come into contact (because of job interdependencies and interfaces), the more opportunities there are for interpersonal interaction. The more such opportunities, the greater the chance that the individual will develop interpersonal relationships with group members.

Possible Group Memberships

Individual managers and leaders may socialize primarily with a group of their colleagues—that is, organizational peers (at the same level), with whom they interact frequently and share equal organizational status.

They may associate primarily with a group composed of higher-level individuals (possibly including their own superior). Even though their organizational status is lower than that of the higher-level individuals, and even though they may not have frequent job-related contact with all of the group's members, they may possess certain valued characteristics that qualify them for membership in such a group.

They may socialize primarily with a group composed of their subordinates. Even though their organizational status is higher than that of their subordinates, their membership in such a group can result from frequent interaction on the job and certain shared interests, skills, goals, personality traits, or other valued characteristics.

They may associate primarily with a group that is made up of members who are at various levels in the organization.

Or they may associate equally with two or more of the groups already mentioned. The possibilities are numerous.

Groups' Norms and Sanctions

The significance of managers' group memberships—and the significance of their interactions with groups of which they are not members—lies mostly in the fact that all social groups have their own particular norms, which they maintain by using various sanctions to influence the attitudes and behavior of both members and outsiders.

Group Norms

Group norms include: group values, attitudes, interests, and goals; expected modes of behavior; customs; social procedures; and both formal and informal rules. Their basic functions are: (a) to maintain an atmosphere in which members' needs can be consistently fulfilled; (b) to foster solidarity and morale; and (c) to perpetuate the group. To perform these functions, they must deal with both internal and external matters.

Some of the internal matters with which group norms deal are:

a. membership qualifications;
b. how status is to be conferred upon members;
c. who will perform which roles (e.g., social leader, task leader, arbitrator, tension-reducer, clown/entertainer, follower);
d. how members should interact with and behave toward each other;
e. the manner in which work is to be done;
f. how interpersonal conflicts are to be resolved; and
g. how norms themselves are to be enforced within the group.

Some of the external matters with which group norms deal are:

a. how members should behave toward subordinates, colleagues, and superiors who are outside the group;
b. how outsiders should behave toward group members;
c. how to maintain the group's image vis-a-vis other groups; and
d. how influence should be exerted on other groups and individuals (so that they will behave in a manner that is functional for the group's maintenance, cohesion, goal achievement, and morale).

Group Sanctions

It is through the application of various positive and negative sanctions that members of groups encourage, enforce, and reinforce (a) adherence to group norms by members, and (b) functional behavior toward the group by outsiders.

The negative sanctions that are used to punish and otherwise discourage members' deviation from group norms include: (a) sarcastic remarks; (b) ridicule; (c) criticism; (d) blame; (e) avoidance; (f) indications of reduced status in the group; (g) reduced cooperation on the job; (h) the withholding of information; (i) making an individual look bad in front of comrades, subordinates, colleagues, or superiors;

(j) exclusion from group activities; (k) rejection; (l) threats of being ostracized from the group; and other forms and degrees of negative feedback.

The negative sanctions that are used to punish and discourage dysfunctional behavior toward the group by outsiders include all of the above except the following: indications of reduced status in the group (f); and threats of ostracism from the group (l).

The positive sanctions that are used to encourage, reward, and reinforce members' adherence to group norms include: (a) praise; (b) verbal or physical expressions of friendship; (c) acknowledgement of group membership; (d) acknowledgement of status in the group; (e) conferment of increased status; (f) conferment of an important role; (g) increased cooperation on the job; (h) the volunteering of useful information; (i) making an individual look good in front of comrades, subordinates, colleagues, and superiors; and other forms and degrees of positive feedback.

The positive sanctions that are used to reward, encourage, and reinforce functional behavior toward the group by outsiders include all of the above except the following: acknowledgement of group membership (c); acknowledgement of status in the group (d); and conferment of increased status in the group (e). They can, however, also include acknowledgement of an outsider's status in the organization and his or her acceptance into the group.

In a given situation involving a particular member's or outsider's behavior, many factors determine (1) whether or not group members actually apply sanctions; (2) which positive or negative sanction(s) each member applies; and (3) how each member applies his or her sanction(s). The following are some of the major determining factors:

a. whether the behavior involved is functional or dysfunctional for individual members and the group as a whole;
b. the extent to which the behavior is either functional or dysfunctional;
c. the characteristics, group role, group status, and organizational position and status of the individual whose behavior is involved;
d. the characteristics, group roles, group status, and organizational positions and status of group members; and
e. the existing (interpersonal) relationships between group members and the individual involved.

Even though a cohesive social group tends to form because of close interpersonal relationships among individuals, and even though group norms tend to develop from some combination of shared characteristics and attitudes, a group's internal and external encouragement of behavior that is functional for the group tends to . . .

a. solidify interpersonal relationships within the group;
b. increase the uniformity of members' attitudes;
c. promote unity of purpose;
d. increase the uniformity of internally and externally oriented behavior; and
e. promote concerted action (especially when the norms or activities of the group are threatened from inside or outside).

Group norms and sanctions usually develop and operate without group members and outsiders really being consciously aware of them. Thus, their influences are quite often among the most subtle influences on people's attitudes and behavior.

Degrees to Which Groups Can Influence Members and Outsiders

Managers' and leaders' attitudes and behavior patterns are certain to be influenced by the operant norms and sanctions of any groups of which they are members. Because groups also apply sanctions to outsiders, managers can also be influenced to some degree by groups to which they do not belong (but with which, for whatever reasons, they come into contact). Before briefly discussing the relative degrees of influence that can be exerted on members and outsiders by social groups, let us first note some of the factors that affect the extent of a group's influence on both members and outsiders.

Factors That Determine the Degree of Influence Exerted

In general, the more or greater each of the following factors, the greater or stronger a group's influence on either a member or an outsider:

a. the degree to which the individual's behavior is either functional or dysfunctional for individual group members and/or the group as a whole;
b. the extent to which the individual's performance,

need fulfillment, and goal attainment can be affected by the group's behavior;

c. the extent to which the individual may be insecure, lacking in self-confidence, dependent, and submissive (in terms of his or her personality);
d. the extent to which the individual shares the group's values, interests, attitudes, and goals;
e. the cohesiveness of the group, which in turn affects the uniformity and concertedness with which members apply sanctions;
f. the strength of the positive or negative sanctions that are applied to the individual by the group;
g. the number of opportunities that group members have to apply sanctions to the individual (a factor that is a function of the number of job interfaces and on-the-job contacts between members and the individual); and
h. the ease with which group members can apply sanctions (a factor that is a function of the available modes of communication, of the frequency of on-the-job contacts, and of other factors).

In general, the more or greater each of the following factors, the smaller or weaker a group's influence on either a member or an outsider:

a. the degrees to which the individual is affected by opposing or conflicting influences being exerted by other groups; and

b. the degrees to which the individual is affected by opposing or conflicting influences being exerted by task-related, organizational, and outside forces or factors.

Degree of Influence on Members Versus Degree of influence on Outsiders

Generally speaking, stronger socially-oriented influences are exerted on individuals by the groups to which they belong than by the groups to which they do not belong. Among the reasons are the following.

A. When people join any social group, they entrust the fulfillment of various social and ego needs to the group. In effect, they make themselves dependent on the group, thereby enabling it to fulfill certain needs more fully, consistently, and meaningfully than groups to which they do not belong. However, they also make themselves vulnerable to the group, thereby enabling it to threaten the fulfillment of certain needs to a greater extent than groups to which they do not belong. Consequently, individuals are normally more sensitive to the positive and negative sanctions that are applied to them by groups of which they are members (and, therefore, adhere much more closely to those groups' norms).

   Note: Even though this is generally the case regardless of individuals' status and roles in groups, two points should be mentioned. First, group leaders are usually allowed to deviate from group norms to a greater extent than most other members, largely because of their higher status and their normally greater emulation of group norms. Second, fringe members and members who have relatively low status can tend to deviate from group norms to a greater extent than other members, largely because they usually have less to lose when doing so.

B. People normally have closer relationships and more frequent face-to-face social contacts with members of groups to which they belong than with members of groups to which they do not belong. This enables groups of which they are members to apply positive and negative social sanctions to them more easily, uniformly, concertedly, and effectively than groups of which they are not members.

Although the social influences exerted by the groups to which individuals belong are generally stronger, equally strong and even stronger influences can be exerted by groups to which they do not belong. When this does happen in a situation involving a particular group and outsider, each of the following factors can be wholly or at least partly responsible:

a. one or more members of the group are in a position to affect the outsider's performance, need fulfillment, and/or goal attainment to a high degree;

b. one or more members of the group are able to apply sanctions with equal or greater frequency and effectiveness (perhaps due, for example, to closer proximity to the individual, to access to more effective modes of communication, or to more frequent contact on the job); and/or

c. the outsider wants very much to be accepted as a member of the group, and, therefore, adheres voluntarily to its norms and is very sensitive to the sanctions it applies.

Various Social Groups' Influences On Managers' and Leaders' Behavior

There are at least three major aspects of any social group's influence on managerial or leadership behavior: (a) the nature or effect of the influence; (b) the manner in which the influence is exerted; and (c) the degree or extent of the influence. Since the manner in which and the degree to which leaders' and managers' behavior is socially influenced are functions of factors already discussed above, we will focus the discussion below on the different natures or effects of different groups' influences.

Basically, the nature of any social group's influence is a function of two factors:

1. the norms of the group regarding (a) how members should behave toward their subordinates, and (b) how members should be treated by their superiors; and
2. the composition of the group—whether it is composed mostly of superiors, mostly of colleagues, or mostly of subordinates.

The discussion that follows is divided into three parts. In the first part we discuss different social groups' influences in terms of their different sets of norms regarding managerial and leadership behavior. In the second part we qualify and elaborate on the first part by discussing groups' influences in terms of their norms and composition. In the third part we put the entire discussion into perspective by relating a common real-world situation that demonstrates the tremendous complexity of social influences on individuals and their managerial or leadership styles.

Different Groups' Influences— As a Function of Their Different Sets of Norms

Just as there are five distinctive managerial styles, there are five distinctive sets of norms regarding managerial behavior. For reasons stated earlier, we will discuss only the sets of norms that correspond with the Theory X and Theory Y (HT,HP) styles.

Groups Having Theory X-Oriented Norms

The following are some of the major attitudinal norms that correspond with Theory X attitudes, practices, and interpersonal behavior:

A. "Getting high, efficient productivity or performance from people is all that really counts. That's what they're getting paid for. Their needs and feelings are incidental. If they're concerned that they're not being treated well enough here, then they can go get a job somewhere else."

B. "If you've got power or authority, use it."

C. "Show that you have guts when handling subor-dinates. Control them firmly and don't let them get away with anything."

D. "Keep some distance between yourself and your subordinates—and don't be too sensitive to them. If you get too close to them, you won't be able to discipline them when they need it."

If these and other Theory X-oriented norms are the predominant norms of any groups to which managers belong, those groups will tend to encourage, enforce, and reinforce managers' use of the Theory X style (by applying various positive and negative sanctions).

If such norms are the predominant norms of groups to which managers do not belong but with which they still have contact, and if managers' behavior affects the groups somehow (especially dysfunctionally), those groups will tend to encourage managers' use of the Theory X style (by applying both positive and negative sanctions).

Groups Having Y- or HT,HP-Oriented Norms

The following are some of the major attitudinal norms that correspond with HT,HP attitudes and behavior:

A. "Whereas people's performance or productivity is very important, so are their needs and feelings."

B. "If you've got power or authority, don't weild and flaunt it. Instead, apply personal influence, which can be earned by developing and demonstrating your technical expertise, managerial competence, and concern for other people."

C. "Behave in a participative, informal manner toward your subordinates, showing your respect for and trust in them."

D. "Be sensitive to the needs and feelings of your sub-

ordinates, and don't be ashamed or embarrassed to show your concern for them."

If these and other Theory Y-oriented norms are the predominant norms of any groups to which leaders belong, those groups will tend to encourage, enforce, and reinforce the leaders' use of the HT,HP style (by applying positive sanctions more than negative sanctions).

If such norms are the predominant norms of groups to which leaders do not belong but with which they still have contact, and if the leaders' behavior somehow affects the groups, those groups will tend to encourage and reinforce the leaders' use of the HT,HP style (by applying positive sanctions more than negative sanctions).

Of course, if a particular group's norms correspond to the permissive style, the middle-of-the-road style, or the nonmanagerial style, then those groups will tend to exert corresponding influences on members' and outsiders' styles.

In each of the cases mentioned above, the degrees to which groups influence managers' and leaders' attitudes and behavior depend upon the factors discussed earlier in this section and upon the degrees to which the managers or leaders are influenced by the various personal, task-related, organizational, and outside forces or factors that are discussed elsewhere in Parts II and III.

Different Groups' Influences—
As a Function of Their Norms and Composition

Groups' influences on managerial and leadership behavior are also affected by their composition. The points raised below take into account both the norms and composition of groups. In doing so, they qualify and add to the discussion above.

Groups Composed Mostly of
Either Colleagues or Superiors

Three points regarding the influences of these two types of groups should be mentioned here.

A. Both types of groups can have either Theory X or Theory Y norms regarding their members' behavior toward subordinates. However, since Theory X attitudes and behavior toward subordinates are still more widespread than HT,HP attitudes and behavior, such groups are more likely to have Theory X norms ("soft Theory X" rather than "hard Theory X"). Consequently, they are more likely to exert a Theory X influence on the styles of colleagues and subordinate managers or leaders (whether they are group members or outsiders).

B. Most individuals in most groups would prefer to be treated in an HT,HP rather than Theory X manner by their superiors. Even groups having Theory X norms regarding behavior toward subordinates are almost certain to have Theory Y norms regarding the manner in which they should be treated by their superiors. These groups' Y norms, however, do not ordinarily balance or modify their X norms, largely because embracing double standards is more or less human nature. Thus, such groups still tend to exert a Theory X influence on the styles of colleagues and subordinate managers (whether they are group members or not).

C. Several results of norms' enforcement within groups composed of leaders' colleagues (or superiors) can be expected: (a) a certain degree of uniformity in members' views regarding managerial or leadership styles; (b) a certain degree of uniformity in members' practices and interpersonal behavior; and (c) a definite tendency for members to take concerted action to influence their own and their units' performance. Because of these factors, such groups' attempts to influence members' or outsiders' behavior tend to be more uniform, concerted, and influential than attempts made by socially incohesive groups composed of colleagues (or superiors). The influences exerted by highly cohesive groups will tend to be especially strong if the styles of member leaders or outside leaders conflict with the groups' more or less uniform styles, thereby reducing members' ability to develop and maintain the desired atmospheres within and between their units.

Groups Composed Mostly of Managers'
or Leaders' Subordinates

Two points regarding these groups' influences on managers' and leaders' styles should be mentioned here.

A. Whereas groups composed mostly of subordinates can have either Theory X or Theory Y norms regarding behavior toward their subordinates (if they have subordinates), they, too, are almost certain to have Theory Y attitudinal norms regarding how they should be treated by their immediate superiors. Unlike groups composed

mostly of managers' colleagues or superiors, however, groups composed of subordinates will usually at least try to influence their immediate superiors to behave in a more Theory Y manner. If managers are actually members of such groups, the groups' Theory Y-oriented influences will be especially strong.

B. The norms of groups composed of subordinates deal not only with managerial or leadership behavior, but also with the manner in which work is to be done. Subordinates' work norms influence managers' and leaders' behavior, too.

Take, for example, groups whose norms include the following: "Do just enough to get by" and "Don't rock the boat by outperforming the rest of the group and getting performance standards raised." As a result of these norms' enforcement within such groups, subordinates can tend to behave in a somewhat unmotivated, uncooperative, inefficient manner. As we said in Part I, such behavior can influence managers to form Theory X impressions about their subordinates and to behave toward them in a Theory X manner. This would be especially true if managers were not members of their subordinates' social groups.

On the other hand, take groups whose norms include the following: "Work as hard and efficiently as you can" and "Compete and strive to achieve." Enforcement of these norms within such groups generally elicits conscientious, cooperative, efficient behavior that tends to influence leaders to form Theory Y views about subordinates and to behave in a more HT,HP manner toward them.

The Real World in Perspective

In reality, of course, the norms of all social groups with which managers and leaders either associate or have contact do not normally correspond to the same managerial or leadership style. For many reasons, some of which were discussed above, different groups have somewhat different sets of norms. As a result, they very often exert conflicting social influences on managers' and leaders' behavior, thereby creating extremely complex social situations and very frustrating dilemmas.

One classic situation that demonstrates this quite well should be familiar to most managers and leaders: a worker's promotion to a supervisory job in a mechanistic organization. On the one hand are the new supervisor's subordinates—probably that individual's former coworkers and friends. The members of this group undoubtedly want and expect to be treated in the same people-oriented, informal, democratic, associative manner in which they all treated each other before the new supervisor's promotion. On the other hand are the individual's new organizational peers and friends—a group of supervisory colleagues (and/or groups composed of higher-level individuals). Inasmuch as these people operate within, and probably contribute to, the mechanistic, Theory X organizational atmosphere, their social norms are very likely to correspond with the Theory X style. In this particular situation, then, Theory X influences are likely to be exerted on the supervisor by colleagues and superiors, while Theory Y influences are likely to be exerted by subordinates. Most organizations do not adequately prepare their new supervisors to deal with these conflicting social pressures.

When confronted by opposing influences such as these, different supervisors and managers respond differently. Some adhere to their new friends' norms. Some adhere to their old friends' norms. Some attempt to compromise. Some try to behave in the presence of each group the way they are expected to behave. Some behave differently in different situations. Some even try to influence a group's norms and make them compatible with other groups' norms.

What individual managers will actually do when confronted by conflicting social groups' influences depends upon many factors. Among these factors, most of which we have already discussed within various contexts, are the following:

a. to which group(s) they belong—and the norms of the group(s);
b. their status and role(s) in the group(s) to which they belong;
c. to which groups they do not belong (but with which they still have contact)—and what their norms are;
d. how aware they are of the various groups' norms;
e. which group they want most to emulate;
f. which group's approval, acceptance, and support they need or value the most;
g. which group's negative sanctions they fear the most;
h. what sanctions each group would apply if they were to adhere to the other groups' norms;
i. their position and status within the organization;
j. the organizational positions, status, and power of the various groups' members;
k. their levels of various values, personality traits, and other characteristics including their ambition;

l. the degrees to which they can influence and perhaps alter the norms of the different groups; and
m. the many nonsocial factors discussed in Parts II and III (including the styles they have already learned, their superiors' styles, how their superiors will react to and evaluate their social behavior, the natures of jobs, and the natures of their organizations).

Summary

Although social influences on managers' and leaders' behavior are extremely complex, several important generalizations can be made.

First: Whether a group's norms correspond with the Theory X style, the HT,HP style, or some other style, managers or leaders who are either members of that group or have contact with it will be influenced to some degree by the group to behave in the manner in which it expects them to behave.

Second: Individual managers can develop and use the HT,HP style much more easily and successfully when the norms of all social groups with which they either associate or have contact correspond to that style.

Influences of Forces and Factors Outside Organizations

Many factors and forces outside organizations influence individuals' managerial behavior, too.

Some of the business-related factors are: the characteristics and behavior of customers, suppliers, and competitors; the interests and activities of industry associations and worker unions; and economic conditions.

Some of the institution-related factors are: financial institutions; activities within capital markets; organized religious groups and their activities; the three branches of state and federal governments and their activities; local, state, federal, and international laws and legal precedents; and government agencies and bureaus, their activities, and the regulations they impose.

Some of the people-related factors are: socio-cultural norms; the attitudes and behavior of families and friends; and the attitudes and behavior of the general public and of special interest groups.

Other factors or forces include: technology; energy; transportation facilities; information processing and communication capabilities; raw materials' avaliability; and even the weather.

Although these and many other outside factors all influence managers' and leaders' behavior on the job, some have a particularly significant influence on their styles. Here we will discuss the influences of several technological, market, economic, and sociocultural factors, some of which have been touched upon earlier within different contexts.

Technological Factors' Influences

In most cases, technology influences managers' and leaders' behavior indirectly—by first affecting task-related factors already discussed in Section 1. Of the seven technological influences discussed below, the first three are related to the level and stability of the technology (or technologies) involved in personnel's jobs. The four remaining influences are related to our society's technological advances in general.

Level and Stability of Technologies Inovolved in Personnel's Jobs

The stability of a technology depends upon (a) the frequency with which changes or advances occur; and (b) the amount of change involved in each occurrence. Naturally, the greater the frequency and amount of change involved, the more unstable the technology and the more uncertainty it creates for those who work with it. Also, the more change a technology has already undergone, the more advanced it tends to be.

Some of those who work with advanced, unstable technologies are physicists, biochemists, designers and operators of complex electronic systems, designers and users of sophisticated information processing equipment, and information systems analysts and designers. Some of those who work with relatively simple, stable technologies are machinists, mechanics, material handlers and processors, and other mechanical equipment operators. Some of those whose work involves the least technology are manual laborers such as fruit-pickers, painters, and janitors, who use relatively simple tools or equipment.

The following are three ways in which managers' and leaders' behavior can be influenced by technology.

A. To a very great extent, the characteristics of subordinates' jobs are affected by the level and stability of the technology (or technologies) involved. The characteristics of subordinates' jobs, in turn, influence managers' and leaders' styles. For example:

   When subordinates' jobs involve a relatively simple, stable technology, they tend to be simple, routine, repetitious, unchanging, and certain. As explained earlier, these mechanistic characteristics can influence leaders to impose mechanistic structures on their units and to behave in a directive and controlling, Theory X manner.

   On the other hand, when subordinates' jobs involve a relatively advanced and unstable technology, they tend to be complex, changing, and uncertain. As explained earlier, these organic characteristics can influence managers to establish more organic structures within their units and to behave in a less directive and controlling, more participative and HT,HP manner.

B. By affecting the complexity and amount of change involved in subordinates' jobs, the level and stability of

the technology (or technologies) involved also affect (a) the capabilities that subordinates are required (or able) to use; and (b) the degree of on-the-job satisfaction that subordinates can experience. Capabilities used and job satisfaction are two factors that largely affect subordinates' motivation, performance, and general behavior—which, in turn, influence the views about subordinates that partly underlie managers' styles. For example:

When the technology involved is relatively simple and stable, making jobs mechanistic, the use of only a few basic skills is required and the work itself tends to be monotonous, uninteresting, unchallenging, and inherently unmotivating. Because their subordinates display few skills and rather low motivation as a result, leaders may form Theory X views about them and behave in a Thery X manner toward them.

On the other hand, when the technology involved is relatively advanced and unstable, making jobs more organic than mechanistic, a wide range of more adanced skills (e.g., mental skills) is required and the work itself tends to be more interesting, challenging, and inherently motivat-ing. Because their subordinates display more skills and motivation as a result, managers are more likey to form Theory Y views about them and to behave in a less directive and controlling, more HT,HP manner toward them.

C. Of course, technology affects jobs in all units or departments of all organizations. Thus, it can affect the natures (structures) of entire organizations and the managerial or leadership styles that pervade them. For example: When jobs in most units of an organization involve rather simple and stable technologies, the entire structure tends to be mechanistic and the whole organization tends to be pervaded by the Theory X style. In such cases, individual managers can be influenced by the mechanistic structure, their superiors' styles, and their colleagues' styles to behave in a Theory X manner.

On the other hand, when jobs in most units of an organization involve rather advanced and unstable technologies, the entire structure tends to be pervaded by a less directive and controlling, more organic style. In such cases, individual managers are influenced by the more organic structure, their bosses' styles, and their colleagues' styles to behave in a less Theory X, more Y or HT,HP manner.

Technological Advances

The following are several perspectives on the influences of our society's technological advances.

A. Although technological advances occur rather slowly in some units, areas, or departments, the general trend in most organizations has been toward increasingly complex jobs, more specialization, and greater organizational complexity. Thus, in order to integrate increasingly complex activities effectively and to deal with increasing change and uncertainty successfully, more and more organizations are finding it necessary to establish less mechanistic, more organic structures and to adopt less directive and controlling, more participative approaches.

B. Advances in the fields of education and training are providing better methods, materials, equipment, and facilities for improving the technical, professional, and managerial or leadership capabilities of all personnel. However slowly in some cases, personnel are becoming increasingly capable and sophisticated—and more deserving of Theory Y views about their natures and potentials.

C. Advances in the fields of psychology, sociology, and organizational behavior are enabling more and more individuals and organizations to recognize that increasing organizational complexity and personnel's increasing sophistication warrant the use of more sophisticated structures, practices, and interpersonal behavior.

D. To a great extent, technological advances have been responsible for our society's exceptional economic development and high standard of living. These factors, which also influence organizational behavior and leadership styles, are discussed in a section below.

Market-Related Factors' Influences

Like technological factors, market-related factors influence managerial behavior indirectly in most cases—by first affecting task-related factors already discussed in Section 1. Stability is a major factor here, also. In fact, many if not most market-related factors influence managerial behavior because of their effects on the stability of the market(s) with which managers' units or organizations deal.

Factors Affecting Market Stability

In general, a market is more unstable (a) the more advanced and unstable the technology that is involved in the product or service being marketed; (b) the more competitors there are in the marketplace; (c) the more competitors' products or services are differentiable; (d) the more sensitive purchasers are to prices, price changes, quality differences, and costs of product usage; (e) the greater the demand that has been established for something new, different, or better; (f) the more frequently customers make their purchase decisions; (g) the more often customers' needs, attitudes, and buying habits change; and (h) the more quickly customers' reactions, attitudes, and behavior can be determined.

Some of the markets that tend to be unstable are those for information systems hardware and software, medical supplies and equipment, research and testing equipment, and most consumer products (e.g., packaged foods, automobiles, appliances, and fashion clothing). Some of the markets that tend to be relatively stable are those for industrial machinery, heavy equipment, manufacturing materials (such as plastics and steel), packaging materials (especially cardboard containers), and consumer commodities (such as salt, sugar, and dairy products).[100]

Influences of Stability and Instability

Managerial behavior can be influenced by the stability (or instability) of a market in the same three ways that it can be influenced by the stability (or instability) of a technology. So as not to repeat the previous discussion, let us simply say the following:

When managers' subordinates (and/or organizations) deal with a relatively stable market, the subordinates' jobs (and/or organizations' structures) are likely to be rather mechanistic (unchanging and certain in the case of the jobs involved). The mechanistic characteristics of their subordinates' jobs (and/or organizations' structures), in turn, can tend to influence managers to behave in a rather Theory X man-ner.

Conversely, when managers' subordinates (and/or organizations) deal with a relatively unstable market, the subordinates' jobs (and/or organizations' structures) are likely to be more organic (changing and uncertain in the case of the jobs involved). The organic characteristics of their subordinates' jobs (and/or organizations' structures), in turn, can tend to influence managers to behave in a less directive and controlling, more consultive if not participative way.

Economic Factors' Influences

The influences of three general economic factors are mentioned below: this society's standard of living; business conditions; and the availability of capital resources.

Standard of Living

Our nation's growth (due partly to technological advances) has been largely responsible for the high standard of living and high degree of economic security enjoyed by the great majority of the population. By providing for the adequate fulfillment of most people's physiological and safety needs, it has also been largely responsible for our increasing preoccupation with the fulfillment of social, ego, and self-actualization needs (particularly ego needs).

Individuals' managerial or leadership behavior is influenced to a great extent by their inclination and ability to recognize, to be sensitive to, and to contribute to the fulfillment of their subordinates' higher-level needs. If they neither recognize nor are sensitive to them, they are more likely to behave in a Theory X manner. If, on the other hand, they do recognize and are sensitive to them, they are more likely to behave in a Y or HT,HP manner.

Business Conditions

When business conditions are unfavorable (as in a recession), sales and the use of productive capacity generally decline. During such periods, there is a tendency for managers and their organizations to emphasize people's productivity or performance at the expense of their development, satisfaction, and morale. This tendency is manifested in directive and controlling, Theory X behavior.

On the other hand, when business conditions are particularly favorable, sales are high and productive capacity is utilized more fully. During these periods there is a tendency for managers and their organizations to become somewhat more complacent about costs, to become less directive and controlling, to pay more attention to the needs, feelings, and development of personnel, and to behave in a more people-oriented manner (which may, however, be more permissive than participative).

Availability of Capital Resources

When an organization's funds are approaching a level that will not sustain the normal operations of all units (perhaps due to a recessionary decrease in sales and an inflationary increase in costs), and the organization is unable to obtain additional operating capital (perhaps due to depressed capital markets and/or prohibitively high interest rates), it becomes necessary for management to review units' operating budgets, to reallocate available funds among units, and to pare the budgets of some if not all units in the process. As such a situation develops, it tends to increase competition among managers for their units' shares of the organization's allocable funds. It also tends to increase the political maneuvering and power-oriented Theory X behavior that can exist even under normal financial circumstances.

Sociocultural Factors' Influences

Here we briefly discuss the influences of two groups of sociocultural factors: (a) the normative attitudes (values, beliefs, biases) and behavior of groups and individuals outside organizations; and (b) a developing trend in sociocultural norms.

Normative Attitudes and Behavior of Outside Groups and Individuals

In our society or culture, certain normative attitudes and behavior patterns (like the work ethic and religious morality) are woven throughout the normative attitudes and behavior of various subcultures, segments, and groups. Nonetheless, each regional subculture, ethnic group, socioeconomic class, occupational group, religious group, and community has its own set of normative attitudes and behavior patterns. We will not attempt the impossible task of identifying each group's norms here. Instead, let us simply say the following: (a) some groups' norms correspond more closely with Theory X attitudes and behavior; (b) some groups' norms correspond more closely with Theory Y attitudes and behavior; and (c) other groups' norms correspond more closely with attitudes and behavior patterns associated with other managerial styles.

Through their behavioral examples and both positive and negative feedback, many groups and individuals influence the attitudes and behavior of managers and leaders. Early in managers' and leaders' lives, the formation of their basic values, beliefs, and other attitudes is influenced by their parents, teachers, religious leaders, and peer groups. During their adult lives, their attitudes and behavior are influenced by their families, friends, and peer groups, the media, and various institutions. Their adult attitudes and behavior are also influenced by the attitudes and behavior of their superiors, colleagues, and subordinates (in the ways described earlier).

It is important to recognize that since the attitudes and behavior of all these groups and individuals are affected by the normative attitudes and behavior patterns of different groups outside organizations, individual managers and leaders will tend to experience different, often conflicting influences. No one can say exactly how each will feel, think, and behave as a result. This all depends upon the following: (a) the relative degree of influence exerted by each group; (b) the degrees to which they are influenced by each of the other external factors discussed in Part II; and (c) their own personal characteristics, which will be discussed in Part III.

A Trend in Sociocultural Norms

As mentioned earlier, the Theory X views that many managers and leaders have either formed or initially learned are inappropriate today. So, too, are the Theory X practices and interpersonal behavior patterns that many have either developed or learned and have been rewarded for using. We see a trend developing, however, that may eventually alter our society's normative managerial and leadership attitudes and behavior patterns.

Although technological advances have been largely responsible for our economic growth and high standard of living, they have also thrust upon us many social, economic, political, ecological, and organizational problems. While trying to solve these problems, however, we as a society are being forced to look more closely at ourselves, to reevaluate the rights and worth of the individual, and to assess the quality of our lifestyles. In the process we are discovering what the wise members of previous generations may have recognized more intuitively:

a. that individuals' ultimate fulfillment does not necessarily lie in the maximization of wealth, material possessions, power, or immediate physical pleasure;
b. that a more meaningful and fulfilling life can be found in personal challenges, personal development, and a healthy self-concept that partly stems from

personal achievement in terms of non-traditional criteria for measuring success;

c. that achieving results and personal success at others' expense can result in rather hollow satisfaction; and
d. that following the Golden Rule (treating subordinates in the same "high task, high people" manner that we ourselves would like to be treated) is not only ethically and morally desirable, but also challenges us and pays off in terms of subordinates' productivity or performance (as well as their development and job satisfaction).

The trend now developing, we believe, is toward more widespread recognition of these perspectives. Eventually, it should lead to more widespread development and use of "high task, high people" practices and behavior.

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