

► Introduction

Michael Scott, the title character of NBC's long-running comedy *The Office*, was a regional manager at the fictitious Dunder-Mifflin paper company in Scranton, PA. Scott, along with an ensemble cast of his subordinates, depicted the antithesis of a pleasant and inviting workplace. Scott's top-down management approach and often highly inappropriate behavior served as the basis of most episodes. Employees of Dunder-Mifflin were stuck at their desks, tied to their corded phones, while Scott on numerous occasions belittled them, including the HR manager, Toby Flenderson, who was frequently depicted as the recipient of Scott's unpredictable wrath. Leading and managing a diverse workforce, as depicted in *The Office*, can lead to workplace hostility, low motivation, and low job satisfaction. But, as we will see, it does not have to be so.

This chapter—one of the lengthiest in this book and certainly one of the most essential chapters in terms of providing the foundation of administration—examines organizations and the employees within them and how they should be managed and motivated. The underlying theme is that *administrators must know their people*, and the chapter offers a general discussion of organizations, focusing on their definition, theory and function, and structure. Included are several approaches to managing and communicating within organizations.

Also, as indicated in Chapter 1, the initial chapters of Parts 2, 3, and 4 of this book discuss the organization and operation of police, courts, and corrections agencies, respectively. Similarly, countless books and articles have been written about organization and administration in general (many of them in the business and human resources disciplines); therefore, in this chapter, we will attempt to discuss the major elements of organization and administration that apply to the field of criminal justice administration. Then, we review the evolution of organizational theory, including scientific, human relations, systems, and bureaucratic management.

Next, we consider the structure of organizations (including concepts such as span of control and unity of command). We then focus on one of the most important aspects of organizations: communication. After defining what constitutes communication, we consider its process, barriers, role, some cultural cues, and the uniqueness of communication within police organizations. Next is a discussion of leadership and primary theories of how to lead the organization; included is an overview of the characteristics and skills of America's best leaders. Following is a discussion of several classical motivational techniques that are used with employees, which includes major theorists in the field such as McGregor, Maslow, Katz, and Herzberg.

Then, we examine some of the unique challenges posed by the coming generation of criminal justice employees—the so-called Generation Y (or Millennial) employees—including the world into which they were born, the influences of technologies on their worldview, their penchant for bodily adornment, and the implications for the criminal justice workplace. The chapter concludes with review questions and exercises in the Deliberate and Decide, Learn by Doing, and Case Study sections.

► Defining Organizations

Like *supervision* and *management*, the word *organization* has a number of meanings and interpretations that have evolved over the years. We think of organizations as entities of two or more people who cooperate to achieve an objective(s); it can therefore be a company, business, club, and so forth, which engages in planning and arranging the different parts of the group toward accomplishing a fundamental mission. In that sense, certainly, the concept of organization is not new. Undoubtedly, the first organizations were primitive



hunting parties. Organization and a high degree of coordination were required to bring down huge animals, as revealed in fossils from as early as 40,000 years ago.¹

An organization may be formally defined as “a consciously coordinated social entity, with a relatively identifiable boundary, that functions on a relatively continuous basis to achieve a common goal or set of goals.”² The phrase *consciously coordinated* implies management. *Social entity* refers to the fact that organizations are composed of people who interact with one another and with people in other organizations. *Relatively identifiable boundary* alludes to the organization’s goals and the public served.³ Using this definition, we can consider many types of formal groups as full-blown organizations. Four different types of formal organizations have been identified by asking the question “Who benefits?” Answers include (1) mutual benefit associations, such as police labor unions; (2) business concerns, such as General Motors; (3) service organizations, such as community mental health centers, where the client group is the prime beneficiary; and (4) commonweal (e.g., those that exist for the public good or welfare) organizations, such as the Department of Defense and criminal justice agencies, where the beneficiaries are the public at large.⁴ The following analogy is designed to help the reader understand organizations.

An organization corresponds to the bones that structure or give form to the body. Imagine that the hand is a single mass of bone rather than four separate fingers and a thumb made up of bones joined by cartilage to be flexible. The single mass of bones could not, due to its structure, play musical instruments, hold a pencil, or grip a baseball bat. A criminal justice organization is analogous. It must be structured properly if it is to be effective in fulfilling its many diverse goals.⁵

It is important to note that no two organizations are structured or function exactly alike, nor is there one best way to run an organization.

organization entities of two or more people who cooperate to achieve an objective(s).

social entity an organization composed of people who interact with one another and with other people.

relatively identifiable boundary an organization’s goals and the public it is intended to serve.

► The Evolution of Organizational Theory

Next, we discuss the evolution of organizational theory, which is the study of organizational designs and structures, the relationship of organizations with their external environment, and the behavior of administrators and managers within organizations.

According to Ronald Lynch,⁶ the history of management can be divided into three approaches and time periods: (1) scientific management (1900–1940), (2) human relations management (1930–1970), and (3) systems management (1965–present). To this, we would add another important element to the concept of organizations: bureaucratic management, which is also discussed in this section.

organizational theory the study of organizational designs and structures that includes the behavior of administrators and managers within organizations.

Scientific Management

Frederick W. Taylor, who first emphasized time and motion studies, is known today as the father of scientific management—a school of management thought that is concerned primarily with the efficiency and output of the individual worker. Spending his early years in the steel mills of Pennsylvania, Taylor became chief engineer and later discovered a new method of making steel; this allowed him to retire at the age of 45 years to write and lecture. He became interested in methods for getting greater productivity from workers and was hired in 1898 by Bethlehem Steel, where he measured the time it took workers to shovel and carry pig iron. Taylor recommended giving workers hourly breaks and going to a piecework system, among other adjustments. Worker productivity soared; the total number of shovelers needed dropped from about 600 to 140, and worker earnings increased from \$1.15 to \$1.88 per day. The average cost of handling a long ton (2,240 pounds) dropped from \$0.072 to \$0.033.⁷

scientific management a school of management thought that is concerned primarily with the efficiency and output of an individual worker.

PLANNING: working out in broad outline what needs to be done and the methods for doing it to accomplish the purpose set for the enterprise

ORGANIZING: the establishment of a formal structure of authority through which work subdivisions are arranged, defined, and coordinated for the defined objective

STAFFING: the whole personnel function of bringing in and training the staff and maintaining favorable conditions of work

DIRECTING: the continuous task of making decisions, embodying them in specific and general orders and instructions, and serving as the leader of the enterprise

COORDINATING: the all-important duty of interrelating the various parts of the organization

REPORTING: informing the executive and his or her assistants as to what is going on, through records, research, and inspection

BUDGETING: all that is related to budgeting in the form of fiscal planning, accounting, and control

FIGURE 2-1 Gulick's POSDCORB

POSDCORB an acronym for planning, organizing, staffing, directing, coordinating, reporting, and budgeting; this philosophy was emphasized in police management for many years.

Taylor, who was highly criticized by unions for his management-oriented views, proved that administrators must know their employees. He published the book *The Principles of Scientific Management* in 1911. His views caught on, and soon emphasis was placed entirely on the formal administrative structure; terms such as *authority*, *chain of command*, *span of control*, and *division of labor* were coined.

In 1935, Luther Gulick formulated the theory of POSDCORB, an acronym for planning, organizing, staffing, directing, coordinating, reporting, and budgeting (Figure 2-1 ■). This philosophy was emphasized in police management for many years. Gulick stressed the technical and engineering side of management, virtually ignoring the human side.

The application of scientific management to criminal justice agencies was heavily criticized. It viewed employees as passive instruments whose feelings were completely disregarded. In addition, employees were considered to be motivated by money alone.

Human Relations Management

Beginning in the 1930s, people began to realize the negative effects of scientific management on the worker. A view arose in policing that management should instill pride and dignity in officers. The movement toward human relations management began with the famous studies conducted during the late 1920s through the mid-1930s by the Harvard Business School at the Hawthorne plant of the Western Electric Company.⁸ These studies, which are discussed in more detail later in this chapter, found that worker productivity is more closely related to *social* capacity than to physical capacity, noneconomic rewards play a prominent part in motivating and satisfying employees, and employees do not react to management and its rewards as individuals but as members of groups.⁹

In the 1940s and 1950s, police departments began to recognize the strong effect of the informal structure on the organization; agencies began using techniques such as job enlargement and job enrichment to generate interest in policing as a career. Studies indicated that the supervisor who was "employee centered" was more effective than one who was "production centered." Democratic or participatory management began to appear in police agencies. The human relations approach had its limitations, however. With the emphasis placed on the employee, the role of the organizational structure became secondary; the primary goal seemed to many to be social rewards, with little attention given to task accomplishment. Many police managers saw this trend as unrealistic. Employees began to give less and expect more in return.¹⁰

Systems Management

In the mid-1960s, features of the human relations and scientific management approaches were combined in the *systems management* approach. Designed to bring the individual and the organization together, it attempted to help managers use employees to reach desired production goals. The systems management approach recognized that it was still necessary to have some hierarchical arrangement to bring about coordination, that authority and responsibility were essential, and that overall organization was required.

The systems management approach combined the work of Abraham Maslow,¹¹ who developed a hierarchy of needs; Douglas McGregor,¹² who stressed the general theory of human motivation; and Robert Blake and Jane Mouton,¹³ who developed the "managerial grid," which emphasized two concerns—for task and for people—that managers must have. In effect, the systems management approach holds that to be effective, the manager must be interdependent with other individuals and groups and have the ability to recognize and deal with conflict and change. More than mere technical skills are required; managers require knowledge of several major resources: people, money, time, and equipment.¹⁴ Team cooperation is required to achieve organizational goals.

Several theories of leadership and means of motivating employees have also evolved over the past several decades; we discuss several of them in the following sections.

Bureaucratic Management

Criminal justice agencies certainly fit the description of an organization. First, they are managed by being organized into a number of specialized units. Administrators, managers, and supervisors exist to ensure that these units work together toward a common goal (each unit working independently would lead to fragmentation, conflict, and competition). Second, these agencies consist of people who interact within the organization and with external organizations, and they exist to serve the public. Through a mission statement, policies and procedures, a proper management style, and direction, criminal justice administrators attempt to ensure that the organization maintains its overall goals of crime treatment and suppression, and that it works amicably with other organizations and people. As the organization becomes larger, the need becomes greater for people to cooperate to achieve organizational goals.

Criminal justice organizations are *bureaucracies*, as are virtually all large organizations in modern society. The idea of a pure bureaucracy was developed by Max Weber, a German sociologist and the "father of sociology," who argued that if a bureaucratic structure is to function efficiently, it must have the following elements:

1. **Rulification and routinization.** Organizations stress continuity. Rules save effort by eliminating the need for deriving a new solution for every problem. They also facilitate standard and equal treatment of similar situations.

bureaucracy structuring of an organization so as to function efficiently; it includes rules, division of labor, hierarchy of authority, and expertise among its members.

2. **Division of labor.** This involves the performance of functions by various parts of an organization along with providing the necessary authority to carry out these functions.
3. **Hierarchy of authority.** Each lower office is under the control and supervision of a higher one.
4. **Expertise.** Specialized training is necessary. Only a person who has demonstrated adequate technical training is qualified to be a member of the administrative staff.
5. **Written rules.** Administrative acts, decisions, and rules are formulated and recorded in writing.¹⁵

First, many people today view bureaucracies in negative terms, believing that all too often, officials tell clients "That's not my job," or appear to be "going by the book"—relying heavily on rules and regulations, and policies and procedures ("red tape"). Second, they are said to stifle the individual freedom, spontaneity, and self-realization of their employees.¹⁶ James Q. Wilson referred to this widespread discontent with modern organizations as the "bureaucracy problem," where the key issue is "getting the frontline worker ... to do 'the right thing.'"¹⁷

Weber's ideal bureaucracy, however, as described earlier, was designed to eliminate inefficiency and waste in organizations. As shown for each of the earlier principles, many of the characteristics that he proposed years ago are found in today's criminal justice agencies as well as in other bureaucracies (e.g., political parties, churches, educational institutions, and private businesses).

The administration of most police and prison organizations is based on the traditional, pyramidal, quasi-military organizational structure containing the elements of a bureaucracy: specialized functions, adherence to fixed rules, and a hierarchy of authority. (This pyramidal organizational environment is undergoing increasing challenges, especially as a result of departments implementing community policing, as will be seen in Chapter 4.)

inputs an organization's committing such resources as funds, personnel/labor, and equipment toward accomplishing a goal or mission.

outputs an organization's desired outcome, goods, or services.

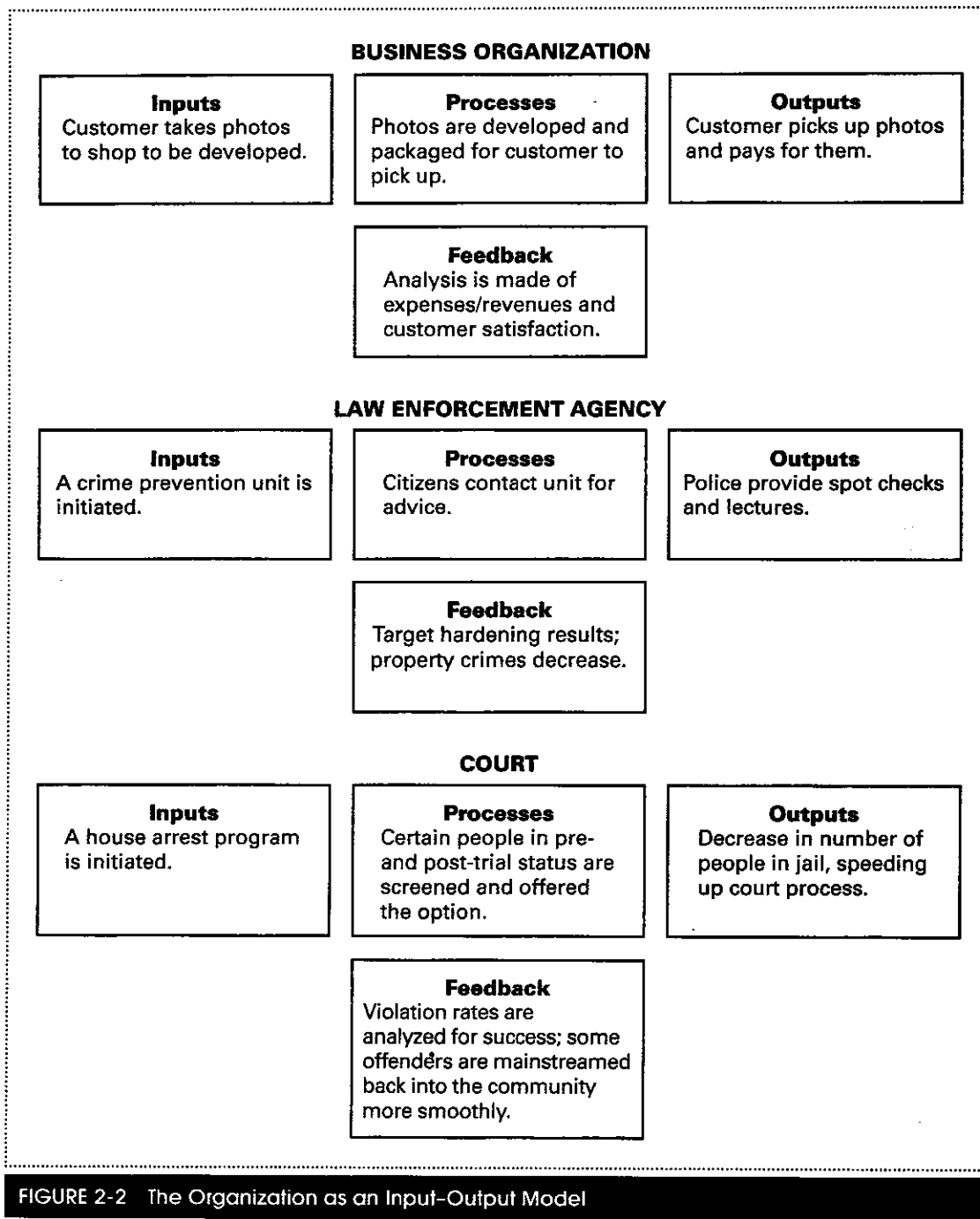
Organizational Inputs/Outputs

Another way to view organizations is as systems that take inputs (e.g., committing resources as funds, personnel/labor, and equipment needed for accomplishing a goal or mission), process them, and thus produce outputs (the desired outcome, goods, or services). A police agency, for example, processes reports of criminal activity and, like other systems, attempts to satisfy the customer (crime victim). Figure 2-2 ■ demonstrates the input/output model for the police and private business. There are other types of inputs by police agencies; for example, a robbery problem might result in an input of newly created robbery surveillance teams, the processing would be their stakeouts, and the output would be the number of subsequent arrests by the team. Feedback would occur in the form of conviction rates at trial.

► Organizational Structure

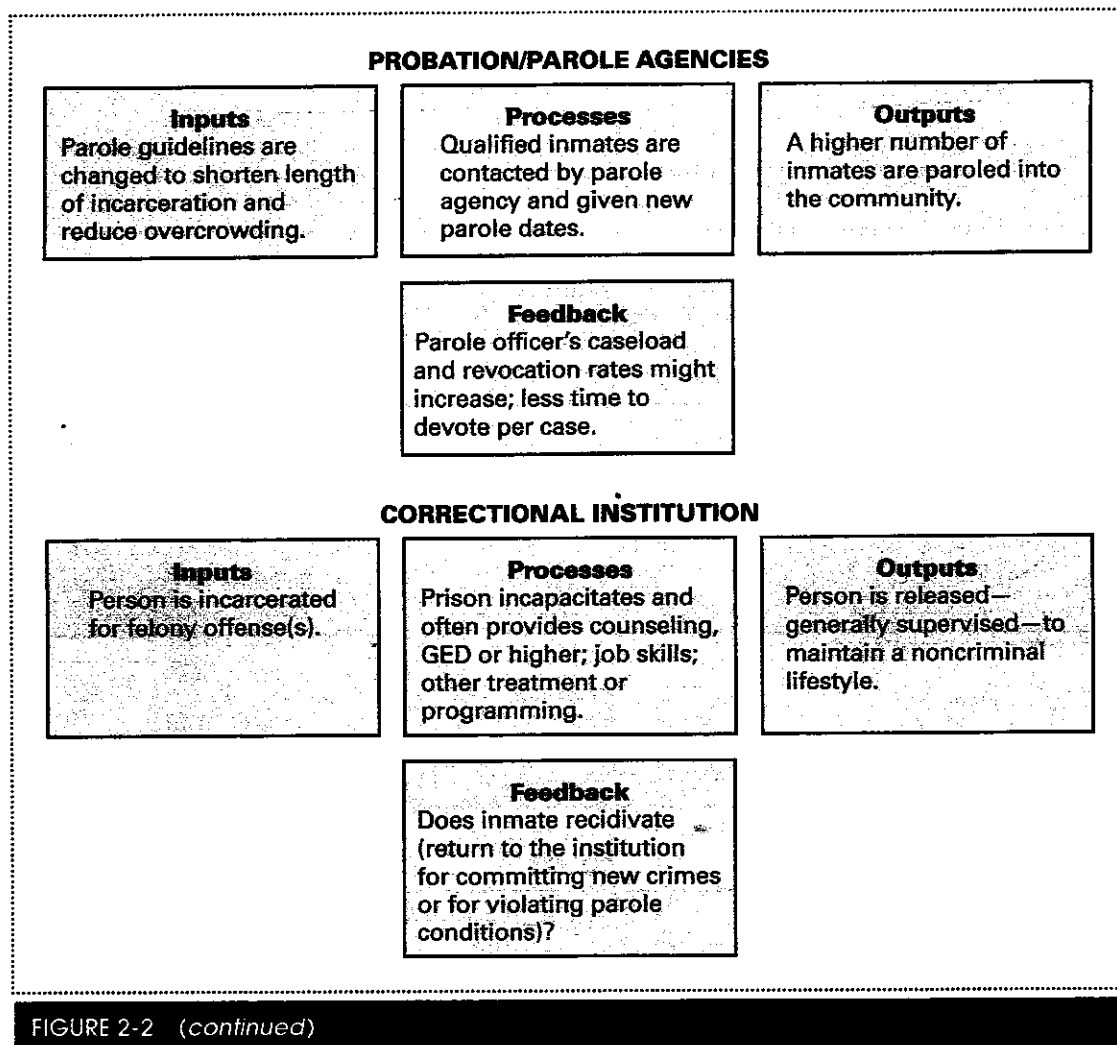
Primary Principles

All organizations have an organizational structure or table of organization, be it written or unwritten, very basic or highly complex. An experienced manager uses this organizational chart or table as a blueprint for action. The size of the organization depends on the demands placed on it and the resources available to it. Growth precipitates the need for more personnel, greater division of labor, specialization, written rules, and other such elements.



In building the organizational structure, the following principles should be kept in mind:

1. **Principle of the objective.** Every part of every organization must be an expression of the purpose of the undertaking. You cannot organize in a vacuum; you must organize for something.
2. **Principle of specialization.** The activities of every member of any organized group should be confined, as far as possible, to the performance of a single function.



3. **Principle of authority.** In every organized group, the supreme authority must rest somewhere. There should be a clear line of authority to every person in the group.
4. **Principle of responsibility.** The responsibility of the superior for the acts of his or her subordinates is absolute.
5. **Principle of definition.** The content of each position, the duties involved, the authority and responsibility contemplated, and the relationships with other positions should be clearly defined in writing and published for all concerned.
6. **Principle of correspondence.** In every position, the responsibility and the authority to carry out the responsibility should correspond.
7. **Span of control.** No person should supervise more than six direct subordinates whose work interlocks.¹⁸

span of control the number of subordinates a chief executive, manager, or supervisor in a criminal justice organization can effectively supervise.

Span of Control and Unity of Command

The last concept in the preceding list, span of control, has recently been revisited in the literature and deserves additional commentary. How many subordinates can a chief executive, manager, or supervisor in a criminal justice organization effectively supervise?

The answer will depend on factors such as the capacity of the leader and the persons supervised, the type of work performed, the complexity of the work, the area covered, distances between elements, the time needed to perform the tasks, and the types of persons served. Normally, a police patrol sergeant will supervise 6–10 officers, while a patrol lieutenant may have 4 or 5 sergeants reporting to him or her.¹⁹

Several authors now argue for even higher spans of control, however, to afford reductions in the distortion of information as it flows through the organization; more rapid, effective decision making and action; fewer functional roadblocks and “turf protection”; greater emphasis on controlling the bureaucracy rather than on customer service; and reduced costs because of the lower number of managers and management support staff. Some also argue that rank-and-file employees favor higher spans of control because they receive less detailed and micromanaged supervision, greater responsibility, and a higher level of trust by their supervisors.²⁰

A related, major principle of hierarchy of authority is **unity of command**, which refers to placing one and only one superior officer in command or in control of every situation and employee. When a critical situation occurs, it is imperative that only one person should be responsible and in charge. The unity of command principle ensures, for example, that multiple and/or conflicting orders are not issued to the same police officers by several superior officers. For example, a patrol sergeant might arrive at a hostage situation, deploy personnel, and give all appropriate orders, only to have a shift lieutenant or captain come to the scene and countermand the sergeant’s orders with his or her own orders. This type of situation would obviously be counterproductive for all concerned. All officers must know and follow the chain of command at such incidents. Every person in the organization should report to one and only one superior officer. When the unity of command principle is followed, everyone involved is aware of the actions initiated by superiors and subordinates. A simple structure indicating the direct line of authority in a chain of command is shown in Figure 2-3 ■.

unity of command
the principle holding
that only one person
should be in command
or control of a situation
or an employee.

An organization should be developed through careful evaluation of its responsibilities; otherwise, the agency may become unable to respond efficiently to clients’ needs. For example, the implementation of too many specialized units in a police department (e.g., community relations, crime analysis, media relations) may obligate too many

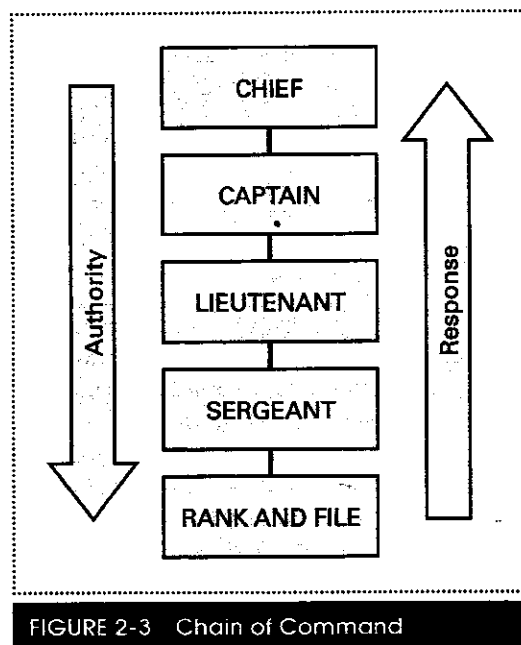
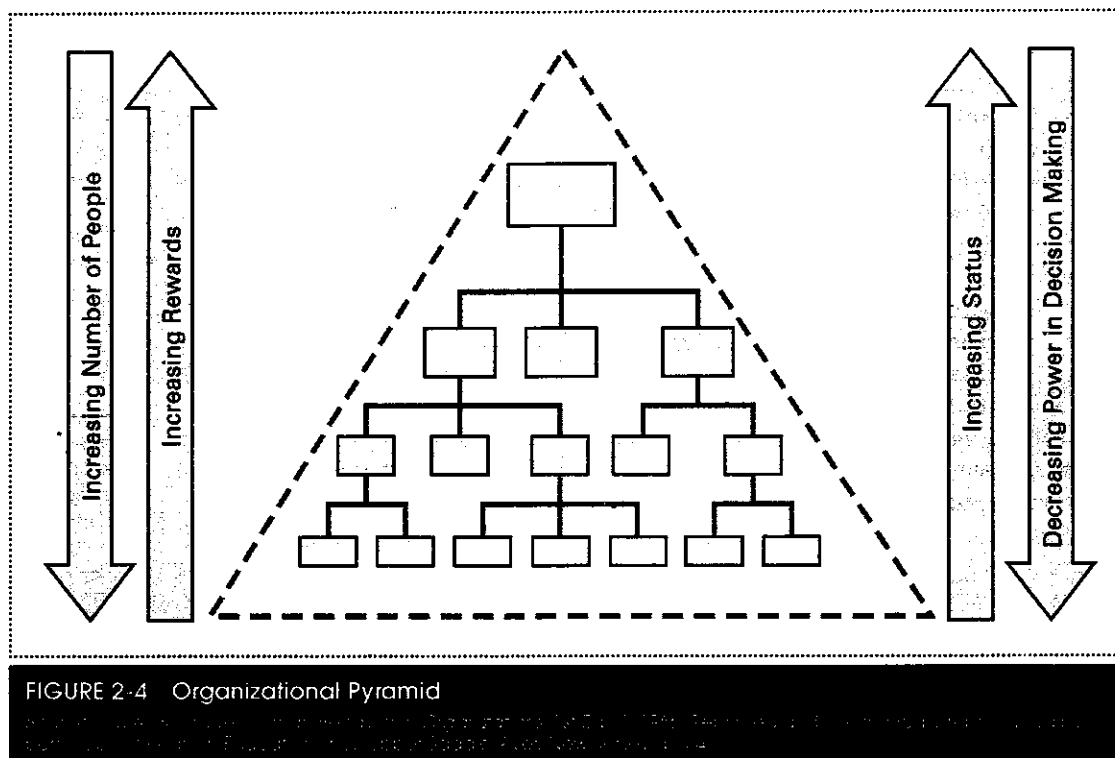


FIGURE 2-3 Chain of Command



personnel to these functions and result in too few patrol officers. Today, 56 to 90 percent of all sworn personnel are assigned to patrol.²¹

The classic pyramidal design is shown in Figure 2-4 ■. The pyramidal structure has the following characteristics:

1. Nearly all contacts take the form of orders going *down* and reports of results going *up* the pyramid.
2. Each subordinate must receive instructions and orders from only one boss.
3. Important decisions are made at the top of the pyramid.
4. Superiors have a specific span of control, supervising only a limited number of people.
5. Personnel at all levels, except at the top and bottom, have contact only with their boss above them and their subordinates below them.²²

Closed versus Open Systems

What we have described thus far about criminal justice organizations is largely consistent with what Weber describes as a bureaucracy and akin to a closed model system. In these organizations, organizational interaction with the outside environment is minimal and this model of bureaucracy is characterized by the presence of some familiar Weberian themes, such as the following: (1) routine tasks are emphasized, (2) a division of labor is central, (3) the means for doing a task are emphasized, (4) conflict in the organization is managed from the top, (5) formal job descriptions are emphasized, (6) an employee's sense of loyalty is to his or her subunit, (7) the organizational structure is that of a hierarchy, (8) organizational knowledge is only inclusive at the very top, (9) interaction among employees is generally vertical, (10) clear superordinate/subordinate relationships are emphasized, and (11) status is determined by rank.²³

While a closed system is closely aligned with bureaucratic management, open systems are more closely aligned to human relations management, which we discussed earlier as an employee-centered management approach, focused on participatory management. In contrast to closed systems, open systems focus on the following: (1) nonroutine tasks, (2) specialized knowledge can contribute to common tasks, (3) getting the job done (the ends) are emphasized over the means, (4) organizational conflict is resolved among peers, (5) the sense that all organizational members can contribute to organizational needs, (6) one's sense of responsibility is to the organization as a whole rather than to an employee's subunit, (7) the organization is seen as a fluidic structure rather than a pyramid, (8) knowledge can be located anywhere in the organization, (9) interaction tends to be horizontal rather than exclusively vertical, (10) interactions between managers and employees tend to be friendly and advice oriented, and (11) one's status in the organization is dependent upon abilities and reputation, rather than rank.²⁴

► Communication within the Organization

Import and Consequence

Communication is obviously important in every segment of our society. As Mark Twain put it, "The difference between the right word and the almost right word is the difference between lightning and lightning bug."²⁵

And to that we might add one more quote, by the noted Italian-American linguist Mario Pei,²⁶ who wrote about the essential nature of proper communication in general:

Rightly or wrongly, most people consider language as an index of culture, breeding, upbringing, personality, sometimes even of intelligence, decency, and integrity. Under the circumstances, it is unwise, not to say harmful, to pay no heed to your language. Ignorance or improper use of language can easily interfere with your success and advancement. It can take money out of your pocket.

communication the use of words, sounds, signs, bodily cues, or other actions to convey or exchange information, or to express ideas, to another person or group.

Certainly there is no discipline where communication is more important than that of criminal justice, where people communicate in and through offense reports; in affidavits; via general orders, policies, procedures, rules, and regulations; on the courtroom witness stand; and in competency, parole, or probation hearings. Indeed, it might be fairly said that communication is the foundation of criminal justice organization and administration.

Communication also becomes exceedingly important and sensitive in criminal justice organizations because of the nature of information that is processed by practitioners—particularly police officers, who often see people at their worst and when they are in the most embarrassing and compromising situations. To communicate what is known about these kinds of behaviors could be devastating to the parties concerned. A former Detroit police chief lamented several decades ago that "many police officers, without realizing they carry such authority, do pass on rumors. The average police officer doesn't stop to weigh what he says."²⁷ Certainly the same holds true today and extends to courts and corrections personnel, especially in view of the high-tech communications equipment now in use.

Process and Characteristics

Today, we communicate via e-mail, videoconferencing, smart phones and text messages, satellite dishes, and many other forms. We converse orally, in written letters and memos, through our body language, via television and radio programs, and through newspapers and meetings. Even private thoughts—which occur four times faster than the spoken word—are communication. Every waking hour, our minds are full of ideas. Psychologists

say that nearly 100,000 thoughts pass through our minds every day, conveyed by a multitude of media.²⁸

Studies have long shown that communication is the primary problem in administration and lack of communication is employees' primary complaint about their immediate supervisors.²⁹ Indeed, managers are in the communications business. It has been said that

[o]f all skills needed to be an effective manager/leader/supervisor, skill in communicating is *the* most vital. In fact, research has shown that 93 percent of police work is one-on-one communication. Estimates vary, but all studies emphasize the importance of communications in everyday law enforcement operations.³⁰

Several elements comprise the communication process: encoding, transmission, medium, reception, decoding, and feedback.³¹

Encoding. To convey an experience or idea, we translate, or encode, that experience into symbols. We use words or other verbal behaviors or nonverbal behaviors such as gestures to convey the experience or idea.

Transmission. This element involves the translation of the encoded symbols into some behavior that another person can observe. The actual articulation (moving our lips, tongue, and so on) of the symbol into verbal or nonverbal observable behavior is transmission.

Medium. Communication must be conveyed through some channel or medium. Media for communication include sight, hearing, taste, touch, and smell. Some other media are television, telephone, paper and pencil, and radio. The choice of the medium is important; for example, a message that is transmitted via a formal letter from the CEO will carry more weight than the same message conveyed via an administrative assistant's memo.

Reception. The stimuli, the verbal and nonverbal symbols, reach the senses of the receiver and are conveyed to the brain for interpretation.

Decoding. The individual who receives the stimuli develops some meaning for the verbal and nonverbal symbols and decodes the stimuli. These symbols are translated into some concept or experience for the receiver. Whether or not the receiver is familiar with the symbols, or whether or not interference such as noise or a physiological problem occurs, determines how closely the message that the receiver has decoded approximates the message that the sender has encoded.

Feedback. After decoding the transmitted symbols, the receiver usually provides some response or feedback to the sender. If someone appears puzzled, we repeat the message or we encode the concept differently and transmit some different symbols to express that concept. Feedback that we receive acts as a guide or steering device and lets us know whether the receiver has interpreted our symbols as we intended. Feedback is obviously a crucial element in guaranteeing that the sender's intended meaning was in fact conveyed to the receiver.

An organization's systems of communication are usually created by establishing formal areas of responsibility and explicit delegations of duties, including statements of the nature, content, and direction of the communications that are necessary for the group's performance. Most criminal justice administrators prefer a formal system, regardless of how cumbersome it may be, because they can control it and because it tends to create a record for future reference. Several human factors, however, affect the flow of communication. Employees typically communicate with those persons who can help them to achieve their aims; they

avoid communicating with those who do not assist, or may retard, their accomplishing those goals; and they tend to avoid communicating with people who threaten them and make them feel anxious.³² Other barriers to effective communication are discussed later.

Communication within a criminal justice organization may be downward, upward, or horizontal. There are five types of *downward* communication within a criminal justice organization:

1. **Job instruction.** Communication relating to the performance of a certain task
2. **Job rationale.** Communication relating a certain task to organizational tasks
3. **Procedures and practice.** Communication about organizational policies, procedures, rules, and regulations (discussed as they relate to police, in Chapter 4)
4. **Feedback.** Communication appraising how an individual performs the assigned task
5. **Indoctrination.** Communication designed to motivate the employee³³

Other reasons for communicating downward—implicit in this list—are opportunities for administrators to spell out objectives, to change attitudes and mold opinions, to prevent misunderstandings from lack of information, and to prepare employees for change.³⁴

Upward communication in a criminal justice organization may be likened to a trout trying to swim upstream: With its many currents of resistance, it is a much harder task than to float downstream. Several deterrents restrict upward communication. The physical distance between superior and subordinate impedes upward communication. Communication is often difficult and infrequent when superiors are isolated and seldom seen or spoken to. In large criminal justice organizations, administrators may be located in headquarters that are removed from the operations personnel. The complexity of the organization may also cause prolonged delays of communication. For example, if a corrections officer or a patrol officer observes a problem that needs to be taken to the highest level, normally this information must first be taken to the sergeant, then to the lieutenant, captain, deputy warden or chief, and so on. At each level, these higher-level individuals will reflect on the problem, put their own interpretation on it (possibly including how the problem might affect them professionally or even personally), and possibly even dilute or distort the problem. Thus, delays in communication are inherent in a bureaucracy. Delays could mean that problems are not brought to the attention of the CEO for a long time. The more levels the communication passes through, the more it is filtered and diluted in its accuracy.

There is also the danger that administrators have a “no news is good news” or “slay the messenger” attitude, thereby discouraging the reception of information. Unless the superior does in fact maintain an open-door atmosphere, subordinates are often reluctant to bring, or will temper, bad news, unfavorable opinions, and mistakes or failures to the superior.³⁵ Administrators may also believe that they know and understand what their subordinates want and think, and that complaints from subordinates are an indication of disloyalty.

For all of these reasons, administrators may fail to take action on undesirable conditions brought to their attention; this will cause subordinates to lose faith in their leaders. Many time-consuming problems could be minimized or eliminated if superiors took the time to listen to their employees.

Horizontal communication thrives in an organization when formal communication channels are not open.³⁶ The disadvantage of horizontal communication is that it is much easier and more natural to achieve than vertical communication and therefore it often replaces vertical channels. The horizontal channels are usually informal in nature and include the grapevine, discussed next. The advantage is that horizontal communication is essential if the subsystems within a criminal justice organization are to function in an effective and coordinated manner. Horizontal communication among peers may also provide emotional and social bonds that build morale and feelings of teamwork among employees.

Communicating in Police Organizations: Consequence, Jargon, and the Grapevine

Because of their 24/7 work schedules, decentralized nature, unique jargon, and the gravity of what they encounter on the streets, let's briefly consider communications in policing. Police officers must possess the ability to communicate internally and externally regarding policies and procedures that affect daily operations. The ability of the police to communicate effectively using both oral and written means is also paramount because of the damage that can be done by, say, not completing an offense report properly or failing to convey accurately to one's supervisors, to the district attorney, or in court what actually happened in a criminal matter. Officers must also be prepared to converse with highly educated people in their day-to-day work.

Like people in other occupations and professions, the police have their own jargon, dialect, and/or slang that they use on a daily basis. To the police, an offender might be a "perp" (perpetrator); a "subject" is simply someone of interest whom they are talking with, while a "suspect" is someone suspected of having committed a crime. In an "interview," the officer attempts to obtain basic information about a person (name, address, date of birth, and so forth), while an "interrogation" involves questioning an individual about his or her knowledge of, or possible involvement in, a crime. Such jargon and slang help officers to communicate among themselves.

Such slang (or argot) tends to occur among groups, can differ depending on the location of the groups, changes over time, and is widely used in policing for informal, internal communications. In 1993, the *Chicago Tribune* noted some common and other criminal justice organizations argot used among Chicago police officers, including "hype," an intravenous drug user, "501," a drunk driver (from the Illinois Revised Statutes), "smoker," a stolen vehicle, and "spot," a location where drugs are sold.³⁷ And while Chicago police officers use the word "head" to describe an arrest, New York City police officers use the word "collar."³⁸

The police also communicate with one another by listening and talking on the police car radio/police officer worn radio, or communicating digitally using a mobile data terminal (MDT). Agencies generally have detailed instructions and dos and don'ts in their policies and procedures regarding the use of a radio. Supervisors must ensure that officers' radio transmissions are as concise, complete, and accurate as possible; officers are to refrain from making unprofessional, rude, sarcastic, or unnecessary remarks while on their radio; and those who fail to abide by these rules will quickly be admonished or even disciplined.

Police communicate on their radios using codes and have done so since the 1920s. The police also communicate with the use of a phonetic alphabet, which was designed to avoid confusion between letters that sound alike, such as when radioing in the name of a person or a license plate number to the dispatcher. For example, a *d* might easily be confused with a *b* or an *m* with an *n*. So, if radioing in a license plate number that is "DOM-123," the officer would say "David Ocean Mary 1-2-3." This eliminates any possible confusion on the receiver's part.

In addition to the several barriers to effective communication just discussed, the so-called **grapevine**—an informal means of circulating and communicating information or gossip, and so called because it zigzags back and forth across organizations—can also hinder communication. Communication includes rumors, and probably *no* type of organization in our society has more grapevine "scuttlebutt" than police agencies. Departments even establish *rumor control* centers during major crisis situations. Increasing the usual barriers to communication is the fact that policing, prisons, and jails are 24-hour, 7-day operations, so that rumors are easily carried from one shift to the next.

The grapevine's most effective characteristics are that it is fast, it operates mostly at the place of work, and it supplements regular, formal communication. On the positive side,

grapevine an informal means of circulating and communicating information or gossip.

it can be a tool for management to gauge employees' attitudes, to spread useful information, and to help employees vent their frustrations. However, the grapevine can also carry untruths and be malicious. Without a doubt, the grapevine is a force for administrators to reckon with on a daily basis.

Oral and Written Communication

Our society tends to place considerable confidence in the written word within complex organizations. Writing establishes a permanent record, but transmitting information this way does not necessarily ensure that the message will be clear to the receiver. Often, in spite of the writer's best efforts, information is not conveyed clearly. This may be due in large measure to shortcomings with the writer's skills. Nonetheless, criminal justice organizations seem to rely increasingly on written communication, as evidenced by the proliferation of written directives found in most agencies.

This tendency for organizations to promulgate written rules, policies, and procedures has been caused by three contemporary developments. First is the *requirement for administrative due process* in employee disciplinary matters, encouraged by federal court rulings, police officer bill of rights legislation, and labor contracts. Another development is *civil liability*. Lawsuits against local governments and their criminal justice agencies and administrators have become commonplace; written agency guidelines prohibiting certain acts provide a hedge against successful civil litigation.³⁹ Written communication is preferred as a medium for dealing with citizens or groups outside the criminal justice agency. This means of communication provides the greatest protection against the growing number of legal actions taken against agencies by activists, citizens, and interest groups.

Finally, a third stimulus is the *accreditation movement*. Agencies that are either pursuing accreditation or have become accredited must possess a wealth of written policies and procedures.⁴⁰

In recent years, electronic mail (e-mail) and text messaging have proliferated as a communication medium in criminal justice organizations. Such messages are easy to use and are almost instantaneous communication—in upward, downward, or horizontal directions. For all their advantages, however, such messages can lack security and can be ambiguous—not only with respect to content meaning but also with regard to what they represent. Are such messages to be given the full weight of an office letter or memo, or should they be treated more as offhand comments?⁴¹

Other Barriers to Effective Communication

In addition to the barriers just discussed, several other potential barriers to effective communication exist. Some people, for example, are not good listeners. Unfortunately, listening is one of the most neglected and the least understood of the communication arts.⁴² We allow other things to obstruct our communication, including time constraints, inadequate or excessive information, the tendency to say what we think others want to hear, failure to select the best word, prejudices, and strained sender-receiver relationships.⁴³ In addition, subordinates do not always have the same "big picture" viewpoint that superiors possess and do not always communicate well with someone in a higher position who is perhaps more fluent and persuasive than they are.

Cultural Cues

It is important to note that at least 90 percent of communication is *nonverbal* in nature, involving posture, facial expressions, gestures, tone of voice ("it's not what you say but how you say it"), and so on.⁴⁴ People learn to interpret these nonverbal messages by growing up in a particular culture, but not every culture interprets nonverbal cues in the same way.

For example, in some cultures, avoiding eye contact by looking at the ground is meant to convey respect and humility. Making what to some people are exaggerated hand gestures may be a normal means of communication in some cultures, and social distance for conversation in some societies may be much closer than it is in the United States. Someone from Nigeria, for example, may stand less than 15 inches from someone while conversing, whereas about two feet is a comfortable conversation zone for Americans. These few examples demonstrate why criminal justice practitioners must possess cultural empathy and understand the cultural cues of citizens from other nations.

External Communications: Use of Social Media

You might recall from our earlier discussion in this section that the choice of medium for communications is important. With the proliferation of social media, criminal justice agencies are turning to such platforms as Facebook and Twitter to communicate externally with their constituents.⁴⁵ Historically, external communications to the public went first to the media, then were pushed out via newspapers, television, and radio. But this type of communication typically is one-sided, with little ability of the public to directly interact with criminal justice agencies.

Social media includes a number of varied platforms, including Microblogs (e.g., Twitter), social networking sites (e.g., Facebook), professional networks (e.g., LinkedIn), video sharing (e.g., YouTube), and content-driven communities (e.g., Wikipedia).⁴⁶ In a 2015 study, the International Association of Chiefs of Police reported that 96 percent of the law enforcement agencies it surveyed used social media, the great majority of which (94 percent) used Facebook.⁴⁷ Almost 89 percent of those police agencies used Facebook to communicate to the public about criminal investigations, oftentimes seeking the public's help in the investigation.⁴⁸ In a statewide study completed in Idaho in 2015, Jacob Kabrud found that law enforcement agencies use Facebook to communicate with the public for a variety of reasons, including public interest posts, crime-related posts, and alert-related posts.⁴⁹

As criminal justice agencies move away from being closed, bureaucratic, insular organizations to those that are more open and responsive to community needs, external communications and interactions with the community become more and more paramount. Social media appears to be the driving force of this communication in the twenty-first century.

► Primary Leadership Theories

What Is Leadership?

Over 20 years ago, Peter Drucker, often referred to as the *business guru*,⁵⁰ conducted a study of the Los Angeles Police Department; among Drucker's findings was: "You police are so concerned with doing things right that you fail to do the right things." Drucker added, "Managers do things right; leaders do the right thing." Another leadership guru, Warren Bennis, has said essentially the same thing. In other words, administrators cannot be so concerned with managing that they fail to lead.⁵¹ We now examine theories underlying leadership and what leaders can do to motivate their subordinates. Probably since the dawn of time, when cave dwellers clustered into hunting groups and some particularly dominant person assumed a leadership role over the party, administrators have received advice on how to do their jobs from those around them. Even today, manuals for leaders and upwardly mobile executives abound, offering quick studies in how to govern others. Although many have doubtlessly been profitable for their authors, most of these how-to primers on leading others enjoy only a brief, ephemeral existence.

To understand leadership, we must first define the term. This is an important and fairly complex undertaking, however. Perhaps the simplest definition is to say that leading is "getting things done through people." In general, it may be said that a manager operates in the status quo, but a leader takes risks. Managers are conformers; leaders are reformers. Managers control; leaders empower. Managers supervise; leaders coach. Managers are efficient; leaders are effective. Managers are position oriented; leaders are people oriented. In sum, administrators must be both skilled managers and effective leaders.⁵²

Other definitions of leadership include the following:

leadership influencing and working with and through individuals or a group to generate activities that will accomplish organizational goals.

- "The process of influencing the activities of an individual or a group in efforts toward goal achievement in a given situation"⁵³
- "Working with and through individuals and groups to accomplish organizational goals"⁵⁴
- "The activity of influencing people to strive willingly for group objectives"⁵⁵
- "The exercise of influence"⁵⁶

Conversely, it has been said that the manager may be viewed as a team captain, parent, steward, battle commander, fountain of wisdom, poker player, group spokesperson, gatekeeper, minister, drill instructor, facilitator, initiator, mediator, navigator, candy-store keeper, linchpin, umbrella-holder, and everything else between nurse and Attila-the-Hun.⁵⁷

In criminal justice organizations, leaders take the macro view; their role might best be defined as "the process of influencing organizational members to use their energies willingly and appropriately to facilitate the achievement of the [agency's] goals."⁵⁸ We discuss leaders and managers in greater length later in this chapter and in Chapter 5 (the Mintzberg Model of CEOs).

Next, we discuss what kinds of activities and philosophies constitute leadership.

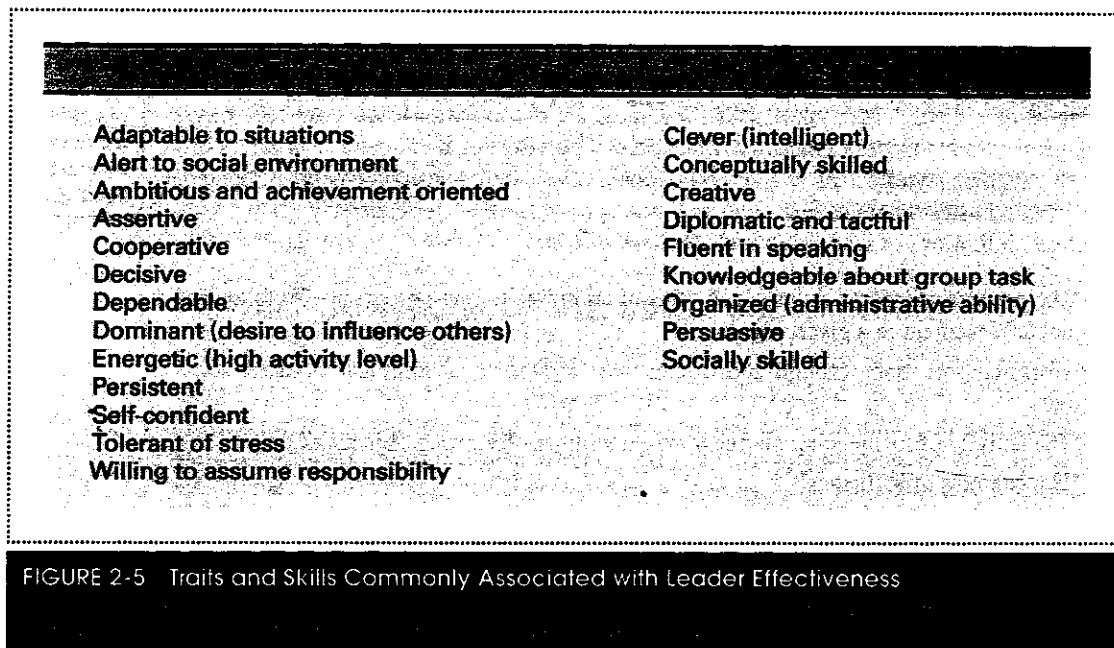
Trait Theory

Trait theory was popular until the 1950s, but it raises important questions for us today. This theory was based on the contention that good leaders possessed certain character traits that poor leaders did not. Those who developed this theory, Stogdill and Goode, believed that a leader could be identified through a two-step process. The first step involved studying leaders and comparing them to nonleaders to determine which traits only the leaders possessed. The second step sought people who possessed these traits to be promoted to managerial positions.⁵⁹

trait theory a theory based on the notion that good leaders possess certain character traits that poor leaders do not.

A study of 468 administrators in 13 companies found certain traits in successful administrators. They were more intelligent and better educated; had a stronger need for power; preferred independent activity, intense thought, and some risk; enjoyed relationships with people; and disliked detail work more than their subordinates.⁶⁰ Figure 2-5 ■ shows traits and skills commonly associated with leader effectiveness, according to Gary Yukl. Following this study, a review of the literature on trait theory revealed the traits most identified with leadership ability: intelligence, initiative, extroversion, a sense of humor, enthusiasm, fairness, sympathy, and self-confidence.⁶¹

Trait theory has lost much of its support since the 1950s, partly because of the basic assumption of the theory that leadership cannot be taught. A more important reason, however, is simply the growth of new, more sophisticated approaches to the study of leadership. Quantifiable means to test trait theory were limited. What does it mean to say that a leader must be intelligent? By whose standards? Compared with persons within the organization or within society? How can traits such as a sense of humor, enthusiasm, fairness, and the others listed earlier be measured or tested? The inability to measure these factors was the real flaw and the reason for the decline of trait theory.



Style Theory

A study at Michigan State University investigated how leaders motivated individuals or groups to achieve organizational goals. The study determined that leaders must have a sense of the task to be accomplished as well as the environment in which their subordinates work. Three principles of leadership behavior emerged from the Michigan study:

1. Leaders must give task direction to their followers.
2. Closeness of supervision directly affects employee production. High-producing units had less direct supervision; highly supervised units had lower production. Conclusion: Employees need some area of freedom to make choices. Given this, they produce at a higher rate.
3. Leaders must be employee oriented. It is the leader's responsibility to facilitate employees' accomplishment of goals.⁶²

style theory a theory that focuses on what leaders do, and argue that leaders engage in two distinct types of behaviors: those relating to task and relationships.

autocratic leader leaders who are primarily authoritarian in nature and prefer to give orders rather than invite group participation.

In the 1950s, Edwin Fleishman began studies of leadership at Ohio State University. After focusing on leader behavior rather than personality traits, he identified two dimensions or basic principles of leadership that could be taught: *initiating structure* and *consideration* (Figure 2-6 ■).⁶³ Initiating structure referred to supervisory behavior that focused on the achievement of organizational goals, and consideration was directed toward a supervisor's openness to subordinates' ideas and respect for their feelings as persons. High consideration and moderate initiating structure were assumed to yield higher job satisfaction and productivity than high initiating structure and low consideration.⁶⁴

The major focus of style theory is the adoption of a single managerial style by a manager based on his or her position in regard to initiating structure and consideration. Three pure leadership styles were thought to be the basis for all managers: autocratic, democratic, and laissez-faire.

The autocratic style is leader centered and has a high initiating structure. An autocratic leader is primarily authoritarian in nature and prefers to give orders rather than invite group participation. Such a leader has a tendency to be personal with criticism. This style

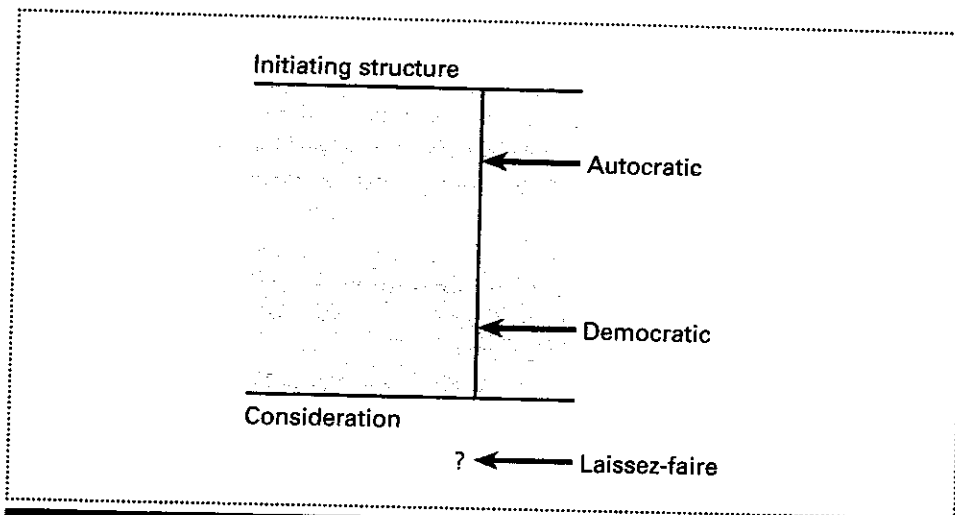


FIGURE 2-6 Style Theory

works best in emergency situations in which strict control and rapid decision making are needed. The problem with autocratic leadership is the organization's inability to function when the leader is absent. It also stifles individual development and initiative because subordinates are rarely allowed to make an independent decision.⁶⁵

In the democratic style, the **democratic leader** tends to focus on working within the group and strives to attain cooperation from group members by eliciting their ideas and support. Democratic managers tend to be viewed as consideration oriented and strive to attain mutual respect with subordinates. These leaders operate within an atmosphere of trust and delegate much authority. The democratic style is useful in organizations in which the course of action is uncertain and problems are relatively unstructured. It often taps the decision-making ability of subordinates. In emergency situations requiring a highly structured response, however, democratic leadership may prove too time-consuming and awkward to be effective. Thus, although the worker may appreciate the strengths of this style, its weaknesses must be recognized as well.⁶⁶

In the laissez-faire style, the **laissez-faire leader** has a hands-off approach in which the leader is actually a nonleader. The organization in effect runs itself, with no input or control from the manager. This style has no positive aspects, as the entire organization is soon placed in jeopardy. In truth, this may not be a leadership style at all; instead, it may be an abdication of administrative duties.

democratic leader
leaders who stress working within the group and strive to attain cooperation from group members by eliciting their ideas and support.

laissez-faire leader
a hands-off approach to leadership, in which the organization essentially runs itself.

Situational Leadership Theory

Similar to style theory, situational leadership theory (SLT), popularized by Hersey and Blanchard, assumes that leaders are most effective when they are adaptable. Rather than trait theory's focus on ideal leadership characteristics, SLT suggests that the best leadership style is situationally dependent based on the interaction of task behavior and relationship behavior. Task behavior refers to the extent to which leaders define the roles of members of their group—leaders who essentially tell their group members what to do and when to do it. Relationship behavior, on the other hand, refers to the extent to which leaders form relationships with members of their group—leaders who essentially provide emotional support and psychological strokes.⁶⁷

From the interaction between task behavior and relationship behavior, four leadership styles emerge, each of which ideally surfaces based on the context (or situation) before the leader.

- “Telling” leaders are high in task behavior and low in relationship behavior. In this scenario, you might imagine a leader barking orders at a correctional officer who repeatedly is not making the grade.
- “Selling” leaders are high in task behavior and high in relationship behavior. In this scenario, you might imagine a leader who seeks the input from her captain to solve a problem, but in the end, if the input does not match the leader’s ideas on how to solve the problem, the leader will stick to her guns.
- “Participating” leaders are low in task behavior and high in relationship behavior. In this scenario, the leader uses participatory leadership techniques that create buy-in by organizational members for new initiatives or problem resolution.
- “Delegating” leaders are low in task behavior and low in relationship behavior. Here, a leader might outline broad goals to a working group and ask group members to devise ways to attain the goals with little interference.

The key features of SLT include the interaction between task behavior and relationship behavior, which is dictated by both employee readiness (the extent to which the employee is ready to do the job) and psychological readiness (the extent to which the employee can assume responsibility for getting the job done).⁶⁸

► Characteristics and Skills of America’s Best Leaders

“Good in Their Skin”

Given today’s deep-seated skepticism and distrust of leaders—often justified by public- and private-sector leaders’ ethical violations, fraud, and cover-ups—it may seem that there is a complete dearth of leadership. But who are the leaders making a difference? A national panel sifted through nominations and agreed on a small group of men and women who embody the more important traits of leadership. The survey determined that there is not a lack of leadership, but rather a “wrong-headed notion of what a leader is,” causing leaders to be hired for their style rather than substance and their image instead of integrity. It was also learned that there is no shortage of people with the capacity to lead who are just waiting for the opportunity.⁶⁹

The survey found that twenty-first-century authentic leaders know who they are; they are “good in their skin,” so they do not feel a need to impress or please others. They inspire those around them and bring people together around a shared purpose and a common set of values. They know the “true north” of their moral compass and are prepared to stay the course despite challenges and disappointments. They are more concerned about serving others than about their own success or recognition. By acknowledging their weaknesses, failings, and errors, they connect with people and empower them to take risks. Usually authentic leaders demonstrate the following five traits: pursuing their purpose with passion, practicing solid values, leading with their hearts as well as their heads, establishing connected relationships, and demonstrating self-discipline.⁷⁰

For a less contemporary, classical view of what skills leaders need to possess, we consider the views of Robert Katz.



Katz's Three Skills

Robert Katz, in 1975, identified three essential skills that leaders should possess: technical, human, and conceptual. Katz defined a *skill* as the capacity to translate knowledge into action in such a way that a task is accomplished successfully.⁷¹ Each of these skills (when performed effectively) results in the achievement of objectives and goals, which is the primary task of management.

Technical skills are those a manager needs to ensure that specific tasks are performed correctly. They are based on proven knowledge, procedures, or techniques. A police detective, a court administrator, and a probation officer have all developed technical skills directly related to the work they perform. Katz wrote that a technical skill "involves specialized knowledge, analytical ability within that specialty, and facility in the use of the tools and techniques of the specific discipline."⁷² This is the skill most easily trained for. A court administrator, for example, has to be knowledgeable in areas such as computer applications, budgeting, caseload management, space utilization, public relations, and personnel administration; a police detective must possess technical skills in interviewing, fingerprinting, and surveillance techniques.⁷³

Human skills involve working with people, including being thoroughly familiar with what motivates employees and how to utilize group processes. Katz visualized human skills as including "the executive's ability to work effectively as a group member and to build cooperative effort within the team he leads."⁷⁴ Katz added that the human relations skill involves tolerance of ambiguity and empathy. *Tolerance of ambiguity* means that the manager is able to handle problems when insufficient information precludes making a totally informed decision. *Empathy* is the ability to put oneself in another's place. An awareness of human skills allows a manager to provide the necessary leadership and direction, ensuring that tasks are accomplished in a timely fashion and with the least expenditure of resources.⁷⁵

Conceptual skills, Katz said, involve "coordinating and integrating all the activities and interests of the organization toward a common objective."⁷⁶ Katz considered such skills to include "an ability to translate knowledge into action." For example, in a criminal justice setting, a court decision concerning the admissibility of evidence would need to be examined in terms of how it affects detectives, other court cases, the forensic laboratory, the property room, and the work of the street officer.

Katz emphasized that these skills can be taught to actual and prospective administrators; thus, good administrators are not simply born but can be trained in the classroom. Furthermore, all three of these skills are present in varying degrees at each management level. As one moves up the hierarchy, conceptual skills become more important and technical skills less important. The common denominator for all levels of management is *human* skills. In today's litigious environment, it is inconceivable that a manager could neglect the human skills.

► Motivating Employees

One of the most fascinating subjects throughout history has been how to motivate people. Some have sought to do so through justice (Plato), others through psychoanalysis (Freud), through conditioning (Pavlov), through incentives (Taylor), and still others through fear (any number of dictators and despots). From the Industrial Revolution to the present, managers have been trying to get a full day's work from their subordinates. The controversy in the early 1990s caused by Japanese businessmen who stated that American workers were lazy certainly raised our collective ire; many U.S. businesspeople and managers would

probably agree that better worker motivation is needed. As Donald Favreau and Joseph Gillespie stated, "Getting people to work, the way you want them to work, when you want them to work, is indeed a challenge."⁷⁷

Many theories have attempted to explain motivation. Some of the best known are those resulting from the Hawthorne studies and those developed by Abraham Maslow, Douglas McGregor, and Frederick Herzberg, all of which are discussed here along with the expectancy and contingency theories.

The Hawthorne Studies

Hawthorne effect
a theory meaning that employees' behavior may be altered if they believe they are being studied—and that management cares.

Another important theory that criminal justice leaders must comprehend is that of the Hawthorne effect, which essentially means that employees' behavior may be altered if they believe they are being studied—and that management *cares*; this was demonstrated in the following research project.

As mentioned earlier, one of the most important studies of worker motivation and behavior, launching intense interest and research in those areas, was the Western Electric Company's study in the 1920s. In 1927, engineers at the Hawthorne plant of Western Electric near Chicago conducted an experiment with several groups of workers to determine the effect of illumination on production. The engineers found that when illumination was increased in stages, production increased. To verify their finding, they reduced illumination to its previous level; again, production increased. Confused by their findings, they contacted Elton Mayo and his colleague Fritz Roethlisberger from Harvard to investigate.⁷⁸ First, the researchers selected several experienced female assemblers for an experiment. Management removed the women from their formal group and isolated them in a room. The women were compensated on the basis of the output of their group. Next, researchers began a series of environmental changes, each discussed with the women in advance of its implementation. For example, breaks were introduced and light refreshments were served. The normal six-day workweek was reduced to five days, and the workday was cut by one hour. *Each* of these changes resulted in increased output.⁷⁹ To verify these findings, researchers returned the women to their original working conditions; breaks were eliminated, the six-day workweek was reinstituted, and all other work conditions were reinstated. The results were that production again increased!

Mayo and his team then performed a second study at the Hawthorne plant. A new group of 14 workers—all men who performed simple, repetitive telephone coil-winding tasks—were given variations in rest periods and workweeks.⁸⁰ The men were also put on a reasonable piece rate—that is, the more they produced, the more money they would earn. The assumption was that the workers would strive to produce more because it was in their own economic interest to do so.

The workers soon split into two informal groups on their own, each group setting its own standards of output and conduct. The workers' output did not increase. Neither too little nor too much production was permitted, and peers exerted pressure to keep members in line. The values of the informal group appeared to be more powerful than the allure of bigger incomes:

1. Don't be a "rate buster" and produce too much work.
2. If you turn out too little work, you are a "chiseler."
3. Don't be a "squealer" to supervisors.
4. Don't be officious; if you aren't a supervisor, don't act like one.⁸¹

Taken together, the Hawthorne studies revealed that people work for a variety of reasons, not just for money and subsistence. They seek satisfaction for more than their physical needs at work and from their coworkers. For the first time, clear evidence was

gathered to support workers' social and esteem needs. As a result, this collision between the human relations school, begun in the Hawthorne studies, and traditional organizational theory sent researchers and theorists off in new and different directions. At least three major new areas of inquiry evolved: (1) what motivates workers (leading to the work of Maslow and Herzberg), (2) leadership (discussed earlier), and (3) organizations as behavioral systems.

Maslow's Hierarchy of Needs

Abraham H. Maslow (1908–1970), who argued for the application of the humanistic school of psychology—which basically stressed the importance of growth and self-actualization and argued that people are innately good—conducted research on human behavior at the Air University, Maxwell Air Force Base, Alabama, during the 1940s. His approach to motivation was unique in that the behavior patterns analyzed were those of motivated, happy, and production-oriented people—achievers, not underachievers. He studied biographies of historical and public figures, including Abraham Lincoln, Albert Einstein, and Eleanor Roosevelt; he also observed and interviewed some of his contemporaries—all of whom showed no psychological problems or signs of neurotic behavior.

Maslow hypothesized that if he could understand what made these people function, it would be possible to apply the same techniques to others, thus achieving a high state of motivation. His observations were coalesced into a hierarchy of needs.⁸²

Maslow concluded that because human beings are part of the animal kingdom, their basic and primary needs or drives are physiological: air, food, water, sex, and shelter. These needs are related to survival. Next in order of importance are needs related to safety or security, protection against danger: murder, criminal assault, threat, deprivation, and tyranny. At the middle of the hierarchy is belonging, or social needs: being accepted by one's peers and associating with members of groups. At the next level of the hierarchy are the needs or drives related to ego: self-esteem, self-respect, power, prestige, recognition, and status. At the top of the hierarchy is self-realization or actualization: self-fulfillment, creativity, becoming all that one is capable of becoming.⁸³ Figure 2-7 ■ depicts this hierarchy.

humanistic school
a school of psychological thought that stressed the importance of growth and self-actualization and argued that people are innately good.

hierarchy of needs
Maslow's belief that people's basic and primary needs or drives are physiological (survival), safety or security, social, ego (self-esteem), and self-realization or actualization.

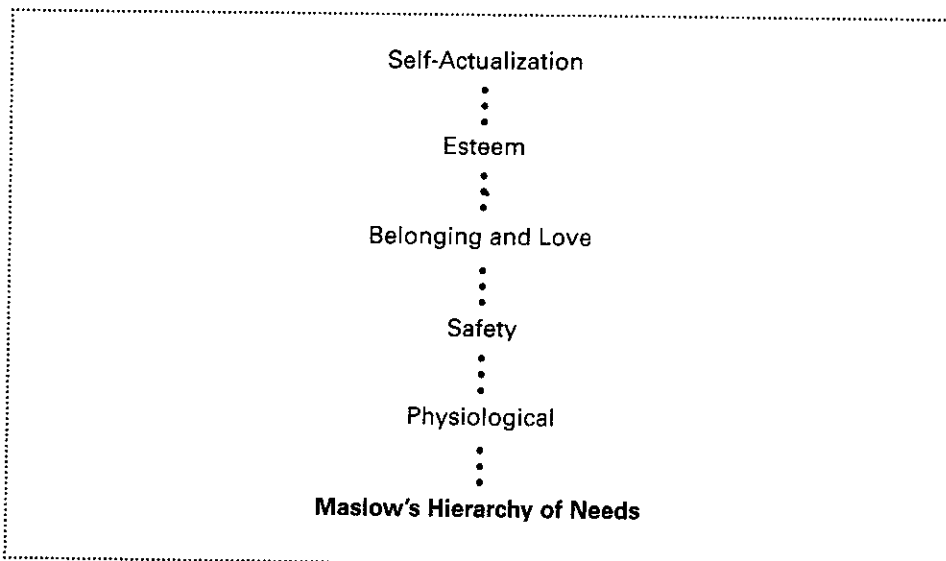


FIGURE 2-7 Maslow's Hierarchy of Human Needs

Source: Maslow's Hierarchy of Human Needs based on *Motivation and Personality*, edited by Kenneth J. Heck.

Unlike the lower needs, the higher needs are rarely satisfied. Maslow suggested that to prevent frustration, needs should be filled in sequential order. A satisfied need is no longer a motivator. Maslow's research also indicated that once a person reaches a high state of motivation (i.e., esteem or self-realization levels), he or she will remain highly motivated, will have a positive attitude toward the organization, and will adopt a "pitch in and help" philosophy.

McGregor's Theory X/Theory Y

Douglas McGregor (1906–1967), who served as president of Antioch College and then on the faculty of the Massachusetts Institute of Technology, was one of the great advocates of humane and democratic management. At Antioch, McGregor tested his theories of democratic management. He noted that behind every managerial decision or action are assumptions about human behavior. He chose the simplest terms possible with which to express them, designating one set of assumptions as **Theory X** and the other as **Theory Y**.⁸⁴

Theory X managers hold traditional views of direction and control, such as the following:

Theory X the management view holding that people inherently dislike work and will avoid it, and thus negative reinforcements (punishments) and other "drivers" must be used as motivators.

Theory Y the management view holding that people inherently like to work, seek greater responsibility, and are inherently motivated rather than by punishment.

- The average human being has an inherent dislike of work and will avoid it if possible. This assumption has deep roots, beginning with the punishment of Adam and Eve and their banishment into a world where they had to work for a living. Management's use of negative reinforcement and the emphasis on "a fair day's work" reflect an underlying belief that management must counter an inherent dislike for work.⁸⁵
- Because of their dislike of work, most people must be coerced, controlled, directed, or threatened with punishment to get them to put forth adequate effort to achieve organizational objectives. Their dislike of work is so strong that even the promise of rewards is not generally enough to overcome it. People will accept the rewards and demand greater ones. Only the threat of punishment will work.⁸⁶
- The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all. This assumption of the "mediocrity of the masses" is rarely expressed so bluntly. Although much lip service is paid to the "sanctity" of the worker and of human beings in general, many managers reflect this assumption in practice and policy.

Theory Y managers take the opposite view of the worker:

- The expenditure of physical and mental effort in work is as natural as play or rest. The average human being does not inherently dislike work; it may even be a source of satisfaction, to be performed voluntarily.
- External control and the threat of punishment are not the only means for producing effort to achieve organizational objectives.
- Commitment to objectives is a function of the rewards associated with their achievement. The most significant rewards—satisfaction of ego and self-actualization needs—can be direct products of effort directed to organizational objectives.
- Under proper conditions, the average human being learns not only to accept but also to seek responsibility. In this view, the avoidance of responsibility, lack of ambition, and emphasis on security are general consequences of experience, not inherent human characteristics.
- The capacity to exercise a high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.



- Under the conditions of modern industrial life, the intellectual potential of the average human being is only partially utilized.

What's interesting to note here are the parallels that you may be realizing between a closed-model organization and McGregor's Theory X, and an open-model organization and McGregor's Theory Y.

Ouchi's Theory Z

William Ouchi popularized Theory Z, which essentially takes McGregor's Theory Y further by emphasizing the importance of participatory decision making in organizations.⁸⁷ Core elements of Theory Z include collective decision making, job security, generalized (vs. specialized) understanding of organizational goals, an emphasis on training and performance improvement, concern for the employee, and individual responsibility for shared accomplishments.⁸⁸ As you already may have noted, open-model organizations are congruent not only with McGregor's Theory Y conceptions of human behavior but also with Ouchi's Theory Z approach to management.

Herzberg's Motivation-Hygiene Theory

During the 1950s, Frederick Herzberg conducted a series of studies in which he asked workers, primarily engineers, to describe the times when they felt particularly good and particularly bad about their jobs. The respondents identified several sources of satisfaction and dissatisfaction in their work. Then, from these findings, Herzberg isolated two vital factors found in all jobs: maintenance or hygiene factors and motivational factors.

Maintenance or hygiene factors are those elements in the work environment that meet an employee's hedonistic need to avoid pain. These factors include the necessities of any job (e.g., adequate pay, benefits, job security, decent working conditions, supervision, interpersonal relations). They are, however, a major source of dissatisfaction when they are inadequate.⁸⁹

Motivational factors are those psychosocial factors that provide intrinsic satisfaction and serve as an incentive for people to invest more of their time, talent, energy, and expertise in productive behavior. Examples include achievement, recognition, responsibility, the work itself, advancement, and potential for growth. The absence of motivators does not necessarily produce job dissatisfaction.⁹⁰

Although these needs are obviously related, they represent totally different dimensions of satisfaction.

Expectancy and Contingency Theories

In the 1960s, expectancy theory was developed, focusing on certain beliefs that can influence effort and performance. As examples, if an employee believes that his or her efforts will result in a certain level of performance leading to a desired reward, then that employee will likely take action accordingly. Of course, the opposite is true as well: If an employee perceives a low correlation between effort or performance and reward, then the result may well be inaction. Essentially, expectancy theory holds that employees will do what their managers or organizations want them to do if the following are true:

1. The task appears to be possible (employees believe that they possess the necessary competence).
2. The reward (outcome) offered is seen as desirable by the employees (intrinsic rewards come from the job itself; extrinsic rewards are supplied by others).

expectancy theory
a theory that certain
beliefs can influence
effort and performance.

motivational factors
those psychosocial fac-
tors providing intrinsic
satisfaction on the job,
serving as an incen-
tive to devote more of
their time, energy, and
expertise in productive
behavior.

hygiene factors
elements of one's
career that provide one
with their need to avoid
pain (e.g., adequate
pay, benefits, job se-
curity, decent working
conditions, supervision,
interpersonal relations).

3. Employees believe that performing the required behavior or task will bring the desired outcome.
4. There is a good chance that better performance will bring greater rewards.⁹¹

Expectancy theory will work for an organization that specifies what behaviors it expects from people and what the rewards or outcomes will be for those who exhibit such behaviors. Rewards may be pay increases, time off, chances for advancement, a sense of achievement, or other benefits. Managers and organizations can find out what their employees want and see to it that they are provided with the rewards they seek. Walter Newsom⁹² said that the reality of the expectancy theory can be summarized by the "nine Cs": (1) capability (does a person have the capability to perform well?), (2) confidence (does a person believe that he or she can perform the job well?), (3) challenge (does a person have to work hard to perform the job well?), (4) criteria (does a person know the difference between good and poor performance?), (5) credibility (does a person believe the manager will deliver on promises?), (6) consistency (do subordinates believe that all employees receive similar preferred outcomes for good performance, and vice versa?), (7) compensation (do the outcomes associated with good performance reward the employee with money and other types of rewards?), (8) cost (what does it cost a person, in effort and outcomes foregone, to perform well?), and (9) communication (does the manager communicate with the subordinate?).

contingency theory
an effort to determine
the fit between the
organization's char-
acteristics and its tasks
and the motivations of
individuals.

Later, in the 1970s, Morse and Lorsch built on McGregor's and Herzberg's theories with their theory of motivation called **contingency theory**. This theory sought to determine the fit between the organization's characteristics and its tasks and the motivations of individuals. The basic components of the contingency theory are that (1) among people's needs is a central need to achieve a sense of competence, (2) the ways in which people fulfill this need will vary from person to person, (3) competence motivation is most likely to be achieved when there is a fit between task and organization, and (4) a sense of competence continues to motivate people even after competence is achieved. In essence, we all want to be competent in our work. Contingency theory contends that people performing highly structured and organized tasks perform better in Theory X organizations and that those who perform unstructured and uncertain tasks perform better under a Theory Y approach. This theory tells managers to tailor jobs to fit people or to give people the skills, knowledge, and attitudes they will need to become competent.⁹³

Motivation through Job Enrichment

Motivation, among other desirable employee behaviors in an organization, can also be achieved by creating enriched jobs.⁹⁴ Enriched jobs include the following five characteristics: (1) skill variety (the extent to which a job requires a number of different skills and talents), (2) task identity (the extent to which a job requires completion of an entire piece of work), (3) task significance (the impact of one's work), (4) autonomy (the level of independence of one's work), and (5) feedback (the extent of information the employee receives about effective performance).⁹⁵

Redesigning jobs to emphasize the above five characteristics influences three psychological states, which can lead to higher levels of motivation, satisfaction, and productivity, as well as lower levels of employee absenteeism and turnover. These three critical work-related states include the following: (1) experienced meaningfulness of work, (2) experienced responsibility, and (3) knowledge of results.⁹⁶ In the criminal justice system, a good example of a redesigned job is that of a community policing officer engaged in problem-solving, who when compared to an incident-driven traditional police officer may possess more of the desired elements of a redesigned job.

► Preparing for Employees Now and in the Future: Generation Y

Changing Demographics and Mind-Set

American workers, although working longer, are aging and approaching retirement. In fact, over the next 20 years, 10,000 people will turn age 65 each day; 75 million baby boomers (people born between 1946 and 1964) are poised to retire and will leave large gaps in the workforce.⁹⁷ Certain administrators of the criminal justice system—particularly those in police and corrections (i.e., jails, prisons, probation and parole) agencies—must be prepared for a literal “changing of the guard” that is being realized right now.⁹⁸ They are already being replaced by persons born in what is termed Generation X, or Gen Xers (those born between 1965 and 1979), as well as the so-called Generation Y (sometimes termed the Millennials, or those born between 1980 and 2000).⁹⁹

Gen Yers were raised in an environment where they received awards just for showing up. Their parents have emphasized self-esteem building and feelings of success rather than keeping score of winners and losers. Generation Y is more team oriented and the most technically literate workers ever to hit the job market; they also prefer to work to live, rather than live to work. Gen Yers think nothing of leaving their job for a year to work as a volunteer in Africa. They already give signs of viewing the workplace as a means to an end and do not allow their career and job title to define them. Gen Y employees want to find immediate fulfillment and respect at the workplace, and are not willing to wait 20 years to pay their dues. They expect educational opportunities both in and outside the job, a balanced work and play life, and recognition on the job.

Generation Y sometimes termed the Millennials, persons born between 1980 and 2000.

Coming Challenges

How must justice administrators adapt their views and organizational cultures in order to meet these new employees of the future? Should they attempt to mold the Gen Y police officer or prison corrections officer to fit the traditional, “correct” attitude and ways of behaving at the work site? Or should the administrator change his or her approach to leadership in order to attract and keep these coming employees? Matt Kenyon suggests that Gen Yers can make significant contributions in the field of criminal justice, particularly in policing, but administrators must play to the characteristics and strengths of Millennials if they are to be successfully recruited and retained.¹⁰⁰ For example, Kenyon suggests police departments develop mentorship programs for Millennials, based on survey research suggesting the Gen Yers tend to be more loyal to agencies when they offer training for leadership positions.¹⁰¹ In addition, Kenyon suggests that departments attempt to encourage conversation, which would allow Millennials to voice their opinions, which could improve departmental policies.¹⁰² Essentially, Kenyon is suggesting that police administrators think seriously about adjusting some traditional police structures to accommodate the ever-growing Millennial workforce.

Kelly Sharp offered five challenges for administrators in finding, training, and keeping these employees, as well as some recommendations for their body art and technological skills.¹⁰³

Challenge 1: Finding Them—Think electronically. The agency must attract Gen Yers via social media, or some type of police blog if substantial recruitment is to be realized. The agency must have an up-to-date, attractive website and social media presence.

Challenge 2: Training Them—The agency’s training program must also be designed to keep Gen Yers, who were raised on video games and television and thus expect rapid

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access to information and will quickly become bored. Training should be interactive and entertaining, as well as educational, and include the ability to brainstorm with each other and to engage in problem-solving.

Challenge 3: Keeping Them—The workplace should be a fun, flexible environment. The days of “do it my way or hit the highway” management style will not suffice. While pay is important to the Gen Y employee, he or she is seeking an environment in which to learn and grow—and one that includes volunteerism and educational opportunities. Gen Yers also prefer feedback that is informal and immediate, so agencies should adjust their evaluation process accordingly.

Challenge 4: Body Art—Gen Y employees will likely display a very casual attitude toward unusual body art and piercings among their coworkers—a normal form of expression among Gen Yers. Therefore, the traditional militaristic, standardized look (and dress code) may be jeopardized when every applicant comes decorated with body art. Dress codes may thus have to be rewritten at some point, or at least allow the option of softening the more stringent requirements.

Challenge 5: Technology—Gen Y employees, being surrounded by technology since birth, cannot imagine life without it. Indeed, their approaching any task without technologies to use may well baffle them. They were also raised online and inundated with reality TV, so it is natural for them to wish to record and broadcast their lives. The Internet, their smart phones, and their iPods and tablets are viewed in the same manner as earlier generations viewed pen and pencil or typewriters. As a result, administrators may need to rethink policies that prohibit “surfing the Web at work.”

As baby boomers retire at rapid rates across criminal justice agencies, Gen Yers are being criticized for some of their “nontraditional” attitudes, such as impatience with existing hierarchies and social contracts that mandate respect between generations.¹⁰⁴ But Althea Olson and Mike Wasilewski argue that the criticisms that some administrators have toward Gen Yers may be overly generalized and simply unfair.¹⁰⁵ In fact, some of the attributes associated with Millennials might benefit and improve law enforcement, especially their proficiency with technology, creativity, and their questioning of tradition.

California POST’s Career Pipeline Program is one way to address an emerging “human resource crisis.”¹⁰⁶ This program targets students in grades 5–8 and uses educators and criminal justice employees to teach the values of sportsmanship and citizenship along with vocation-based learning.¹⁰⁷ While not a panacea, the Career Pipeline Program is an innovative attempt to create a “hook” into the law enforcement profession. But if one of these pipeline students ultimately finds his or her way into a POST academy, no one should be surprised if the student asks whether his or her police report must be fewer than 140 characters!

Becoming a Learning Organization

In sum, the criminal justice workplace is changing in dramatic ways. Understanding the Millennials is important not only for developing future leaders but also for basic workplace effectiveness and employee retention.

Agency administrators must promote what is termed a “learning organization” culture, where communication and collaboration are promoted so that everyone is engaged in identifying and solving problems. This culture will enable organizations of the future to continually experiment, improve, adapt to generational differences, and meet the challenges of a more complex role. The learning organization will prize equity, open information, reduced hierarchy, and a culture that encourages personnel being adaptive and seizing opportunities for growth and handling crises.¹⁰⁸

learning organization an organizational culture that looks to the future to continually experiment, improve, and adapt so as to meet the challenges of a more complex role.