# Leading

One common definition of management is "getting things done through people." Leading (sometimes also referred to as directing or commanding) is the managerial function that enables managers to get things done through people—individually and in groups. Leading is related to the human resources function because both of these are concerned with the organization's employees, but the two functions are quite different. They each focus on distinct aspects of working with people. Human resources is concerned with providing and maintaining the individuals working in an organization. The function of leading, as the name implies, involves directing and motivating these human resources. Leading builds upon the human resources function; it takes the human resources of an organization and guides and coordinates them toward achieving the organization's goals. So, although both functions are concerned with the human side of the organization, they are distinct and different.

Leading is complex because it requires that managers understand the human element in the organization. Thus, it draws heavily on the behavioral sciences such as psychology and sociology for the insights they provide in understanding individuals and their behaviors in the workplace. To be effective at leading, managers must be familiar with what type of rewards are most effective in motivating individuals, and they must know what styles of leadership are most likely to work best in any given situation. They also must understand the importance of communication within the organization. Because each individual is different, leading can be a complicated and time-consuming part of a manager's work. Indeed if a manager is not careful, the interpersonal aspects of leading can consume inordinate energy and time.

This section presents an overview of the leading function. First, the major research relating to human behavior in the work environment is examined. The three major aspects of leading—motivating, leadership, and communication—are

discussed. This section also contains chapters on leading in a team-based environment and on ethics and concludes with a discussion of the contingency approach to management that integrates the many theories of leading into a method that managers can use to match their styles to the needs of specific groups of employees in specific work settings.

# Motivation

## ℹ Overview

You have just accepted a position as the head of the Library Media Center (LMC) at Hillside Elementary School. Hillside is a fairly large school, with an enrollment of 800 students in kindergarten through sixth grade. The only employees in the LMC are you and Mrs. Smith, a clerical aide who has worked in the library for almost ten years. You have been told that the library relies heavily on parent volunteers to provide service to the students, and you realize that managing these volunteers will be an important part of your job. From a discussion with the previous head of the LMC, you learn that many of the volunteers seem to be very dispirited and burned out and that fewer of them are actually showing up for their assigned work. Also, there are 20 percent fewer volunteers signed up to help than there were last year. You are worried about this situation. How do you motivate volunteers who receive no monetary reward for the work they do? How do you get busy people interested in providing needed services for their children's school? You know you need to attract good volunteers and keep them satisfied, but you are puzzled about what to do next. You are facing a problem common to all managers: How can you structure the work environment to get individuals to work up to their fullest potential? What is the best way to motivate workers?

Although the function of leading has many aspects, the three major ones are motivation, leadership, and communication. This chapter will begin with a brief overview of human behavior in the work environment. Then the first major aspect of leading, motivation, will be discussed. Some of the early motivation theories will be described, followed by a discussion of current ideas about motivation. The section on leading

> will continue on to cover the topics of leadership and communication. In addition, two important aspects of leading, creating an ethical climate and promoting teamwork within an organization, will be covered in separate chapters in this section.

# THE HUMAN ELEMENT OF THE ORGANIZATION

This chapter begins a new section of this textbook, one that discusses the managerial functions that are grouped under the classification of "leading" (also sometimes called directing or commanding). Among the most important of these functions are motivation, communication, and leadership. All of the functions encompassed under this classification share a common focus upon the human element of the organization. Sometimes this aspect of management is downplayed or ignored, but this is always a mistake. Although many of the facets of this human element are not apparent at first glance, they play an important role in any organization. Employees' attitudes, personality attributes, and perceptions affect the way they work. As Abraham Zaleznik has written, each employee brings to his or her job "all the frailties and imperfections associated with the human condition," and the "complexity in human nature … leads managers to spend their time, smoothing over conflict, greasing the wheels of human interactions, and unconsciously avoiding aggression."[1] Zaleznik urges managers to maintain a balance between what are often two competing organizational functions: functions he terms the *interpersonal* and the *real work,* such as marketing and production. Obviously, managers do a disservice to the organization if they spend a disproportionate amount of time on the interpersonal aspects of management. However, the interpersonal functions of management cannot be neglected, because the human element is essential to the performance of the real work of the organization.

The managerial function of leading draws heavily upon the field of study known as organizational behavior (OB). As the name implies, organizational behavior is the study of how people, both individually and within groups, behave in organizational settings. For the last century, managers have looked to the behavioral and social sciences (such as psychology, sociology, anthropology, and political science) for useful insights to help in dealing with the people working in an organization, and they have applied many of their findings to the workplace. This borrowing has been useful because it has provided managers with many theories to explain human behavior. However, because there has been so much research and because the results of this research often seem contradictory, a manager seeking information on the best way to lead often becomes confused and frustrated. It must be remembered that the research was never intended to provide a single, simple prescription for all managers. Indeed, it has become clear that there is no one best way to lead and no universal theory that is appropriate in all cases.[2] What this scientific research does provide, however, is a framework for managers to use in assessing their methods for dealing with people in organizations as well as a mechanism to suggest possible avenues of improvement. The more managers know about the research relating to motivation, leadership, and communication, the more they are able to draw from this research the elements that will be most useful to them.

> ## ❓ What Do You Think?
>
> Joan Giesecke, the dean of libraries at the University of Nebraska–Lincoln, posed the following questions:
>
> > Managing professionals can present a true dilemma for today's managers. How do you manage, in the traditional sense, professionals or other managers who expect to have the authority and freedom to do their jobs? They are trained as experts in their fields. Why would they want you to manage them? Why would you think you could or should manage them?
> >
> > What are the problems with managing professionals in today's libraries? How can managers rise to the challenge posed by Giesecke?
>
> _____
>
> Joan Giesecke, *Practical Strategies for Library Managers* (Chicago: American Library Association, 2001), 41.

Like other managerial functions, leading is done by managers at different levels of the organization. As was discussed in chapter 1, in most typical organizations, including libraries, management can be divided into three levels. Top management, which in libraries usually means the director and the assistant and associate directors, is responsible for the overall functioning of the entire organization. In most organizations, managers on the highest levels have the power to establish organization-wide policy and are influential in setting the style of leading throughout the organization. Middle management is in charge of specific subunits or functions of the organization. In libraries and information centers, department heads are middle managers. Their management functions are concentrated on the successful functioning of individual areas of the library. Middle managers, in addition to leading their specific subunits or functions, also serve as liaisons between top management and supervisors. These supervisors, sometimes also called first-line managers, are the managers in the lowest position of the management hierarchy. They lead the activities of individual workers in accomplishing the desired organizational objectives. Because supervisors lead the work of all nonmanagement employees, they play a major role in influencing the performance, job satisfaction, and morale of the individuals in a work unit. Because they are usually the managers in direct contact with most employees, much of the leading function in an organization is done by these lower-level managers; they, like upper-level managers, must be skilled in leadership and human relations functions.

Although this tripartite division of management is being affected by the organizational changes discussed in section 3 and although the layers of management may be much less distinct in team-based structures, even the flattest organizations still will have managers who need to practice the components of leading each day.

Managers at all levels should be familiar with the techniques of good leading so that they can create a climate in which people can work together to fulfill

the organization's goals. Leading is a difficult undertaking because its focus is on human behavior. This behavior is always unpredictable because it arises from people's deep-seated needs and value systems. As Keith Davis and John Newstrom state, "There are no simple formulas for working with people. There is no perfect solution to organizational problems. All that can be done is to increase our understanding and skills so that human relations at work can be upgraded."[3]

## STRUCTURING THE HUMAN ELEMENT IN ORGANIZATIONS

Research concerning people in organizations provides managers with some insight into how to structure the human element of their organizations. As Davis and Newstrom point out, there are four basic assumptions about people that every manager should keep in mind:

1. **Individual differences.** People have much in common, but each person is an individual. Each person is born unique, and subsequent individual experiences make one even more different. Because of these individual differences, no single, standard, across-the-board way of dealing with employees should be adopted.

2. **A whole person.** Although some organizations wish they could employ only a person's skill or brain, they must employ the whole person. Various human traits may be separately studied, but, in the final analysis, they are only parts of the system that make up an entire person. People function as total beings. Good management practice dictates trying to develop a better employee, but it also should be concerned with developing a better person overall in terms of growth and fulfillment.

3. **Motivated behavior.** Psychology has shown that normal behavior has certain causes. These may relate to an individual's needs or to the consequences that result from a person's acts. In the former case, people are motivated not by what we think they ought to have but by what they want themselves. To an outside observer, an individual's needs may be illusory or unrealistic, but they still control that person.

4. **Value of the person.** This is more of an ethical philosophy than a scientific conclusion. It confirms that people are to be treated differently from other factors of production, because they are of a higher order of the universe. It recognizes that, because people are of a higher order, they want and deserve to be treated with respect and dignity. A person working any job, regardless of how simple it may be, is entitled to proper respect and to recognition of his or her unique aspirations and abilities. This concept of human dignity rejects the old idea of using employees only as economic tools.[4]

## ? What Do You Think?

Henry Ford, the automotive pioneer, once complained that his employees asked too many questions. He is reported to have said, "Why, when I only want to hire a pair of hands, do I get a whole person?"

Why cannot managers employ just a pair of hands? How do good managers handle the human element in the organization?

To a large extent, the human factor of any organization is shaped by managerial actions. Managers have a tremendous impact on the growth and development of individual employees. J. Sterling Livingston used the George Bernard Shaw play *Pygmalion* (the basis of the later musical *My Fair Lady*) as an analogy for the role he thinks managers play in developing able subordinates and in stimulating their success.[5] Just as in *Pygmalion,* in which Henry Higgins transformed the flower girl into the society lady by treating her as if she were a lady, managers have the potential to transform their employees into something greater. According to Livingston, a manager's expectations are the key to the subordinate's performance and development. If a manager thinks the employee is going to succeed, that employee usually will succeed, because he or she will want to live up to the manager's high expectations.

When a new worker comes into an organization, he or she may be treated in one of two ways. Typically, if the manager has high expectations of that new worker, the manager will be friendly and give the employee opportunities to assume responsibility. If that new worker then fails at some task, the manager will be likely to view the failure as the result of a lack of proper training and will then see that training is provided. On the other hand, if a manager has low expectations, he likely will oversee the worker closely; will not trust the worker to do much independent work; and, if mistakes are made, will blame the worker. The manager with the low expectations is setting the worker up to fail.[6]

First impressions are very important. The first information received about a person may evoke reactions that lead to a self-fulfilling prophecy. For instance, a poorly dressed new worker may evoke a reaction from a manager that ultimately leads to that new worker failing in his or her job. Whatever assumption is adopted may serve as a self-fulfilling prophecy, because if managers believe that something is true, they will behave in a way that helps that belief turn into reality. If a manager believes that employees are irresponsible, immature, and lazy, he or she will treat them as if they were. The employees will respond by being frustrated, aggressive, and apathetic, and thus the manager's beliefs will be fulfilled. On the other hand, if employees are treated as responsible, capable, and interested in the organization's goals, they usually will respond in like fashion and thus fulfill that prophecy.

## MOTIVATION

Managers are interested in motivation because it affects both employee performance and organizational effectiveness. Managers motivate by pro-

viding an environment that induces workers to contribute to the furthering of the goals of the organization. Many questions about employees' behavior can be best understood by understanding motivation. In every organization, there are some employees who work very hard and others who do as little as possible, some employees who show up on time for work every day and work after hours when necessary, and others who are frequently late and sometimes fail to come to work at all. It is often said that the first group of employees is motivated and the second is not. But what causes some workers and not others to be motivated? This is a question that has puzzled managers for a long time.

Motivation is the willingness to expend energy to achieve a goal or a reward. Thus, motivation is a process governing choices made by individuals between alternative voluntary activities. Motivation at work has been defined as the sum of the processes that influence the arousal, direction, and maintenance of behaviors relevant to work settings.[7]

Evidence has shown that most people do not work to the fullest extent of their capabilities and that most jobs do not require that they do so. In some of the earliest research on motivation, William James of Harvard University discovered that hourly workers working at 20 percent to 30 percent of their ability were performing well enough not to lose their jobs.[8] He also found that highly motivated workers performed at 80 percent to 90 percent of their ability. That gap between 20 percent to 30 percent and 80 percent to 90 percent is the area that can be affected by motivation. Many, if not most, people do not work up to their full potential. Because the success of any organization depends on how well its employees perform, it is not surprising that motivating workers is a major concern of managers. The motivation process can be seen as a sequence, with the efforts of an employee resulting in the achievement of the goals of the organization, which then leads to the employee's needs being satisfied.

| Employee exerts effort | ⇒ | Organization achieves goals | ⇒ | Employee's needs are satisfied |
|---|---|---|---|---|

What motivates people varies from individual to individual and even within the same person over time. Motivation is influenced by a number of internal and external forces. Because each human being has a complex psychological makeup, motivation is a complicated, multifaceted quality that is related to various drives, needs, and wishes. A human need is a "personal unfilled vacancy that determines and organizes mental processes and physical behavior so that fulfillment can occur."[9] Individuals may recognize some of their needs and take care of them, but other needs are not as well recognized and may be working subconsciously.

Many theories and models have been developed to explain human motivation. These theories and models fall into two major groups: the content models and the process theories. The content models try to explain what workers want

and need. They attempt to explain the nature of individual needs, because, according to these theories, workers' needs are tools that managers can use to motivate them. The second group of theories is categorized as the process theories, which focus on how managers can use their knowledge of workers' needs and desires to motivate behavior.

# THE CONTENT MODELS

Because workers are so individualistic in what appears to motivate them, a number of motivational theories and models attempt to specify the exact needs and desires that motivate each person. All of these theories assume that individuals possess preexisting needs and that, although these needs are complex, organizations can motivate employees by addressing them. The relationship between the individual and the organization is a synergistic one; the individual has his or her needs fulfilled, and the organization obtains productivity. Psychologist Abraham Maslow proposed one of the earliest and best known of these theories of motivation in the 1940s.

## Maslow's Hierarchy of Needs

Maslow postulated that all individuals have needs and that these needs can be ranked on one predetermined hierarchy. One level of need must be satisfied before an individual pursues the satisfaction of a higher-level need. As needs are satisfied, they lose their motivational properties until they are again aroused. Only unsatisfied needs serve as motivators. Maslow identified five levels of needs:

1. **Physiological.** The basic needs of a human are food, water, shelter, sleep, and other bodily needs. All are essential to human survival, and until they are satisfied to the degree necessary to sustain life, the other needs will provide little motivation.

2. **Safety and security.** These are the needs to be free of the fear of physical danger and of the fear of the deprivation of basic physiological needs.

3. **Social or affiliation.** After the first two needs are met, an individual develops a need to belong, to love and be loved, and to participate in activities that create a feeling of togetherness.

4. **Esteem.** After the social needs are met, people need to be more than just a member of a group. Individuals want to be held in esteem, both by themselves and by others. The satisfaction of these needs produces feelings of power, self-confidence, and prestige.

5. **Self-actualization.** At the highest level, the individual achieves self-actualization, which means maximizing one's potential to become everything that one is capable of becoming.[10] Figure 13.1 is a graphic presentation of Maslow's hierarchy of needs:

**Figure 13.1—Maslow's Hierarchy of Human Needs**
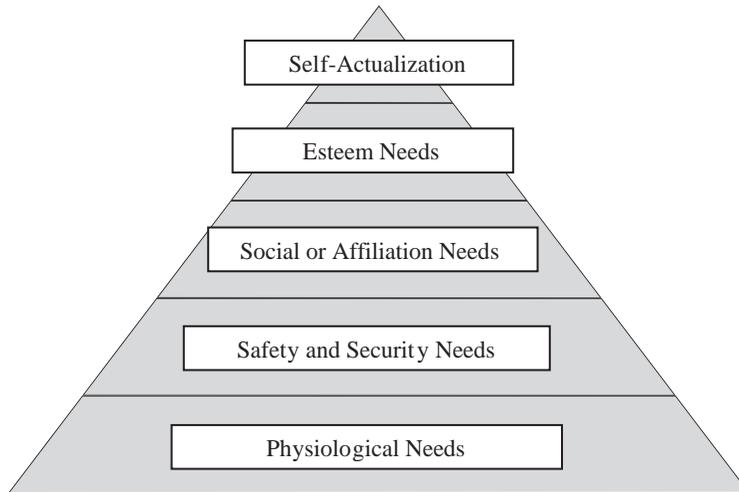


The implications of this hierarchy of needs can be useful in understanding what motivates workers. If a person's basic physiological needs are not met—if he or she does not have sufficient food, water, clothing, and shelter—then none of the higher-level needs will be of sufficient strength to be a motivator. In most cases, physiological needs can be satisfied as long as an individual has enough money. Thus, money, not in itself but because of what it will purchase, is a powerful motivator. In an affluent society like ours, the physiological needs of most individuals are fulfilled and, thus, do not serve as effective motivators.[11]

After a worker's physiological needs are met, fulfilling the security or safety needs becomes paramount. Some security needs are clear: for example, the need to avoid physical harm, accidents, or attacks. Most organizations provide physically safe places to work. However, the need for security extends beyond the present and into the future. Organizations are able to allay some concerns about the future by providing benefits, such as life and accident insurance and pensions. Job security is very important to most workers; the desire for job security is thus often a strong motivator, especially when jobs are scarce and unemployment is high.

After the physiological and safety needs have been fulfilled, the worker's social needs become predominant. Humans are social animals; they want to interact with others and be affiliated with a group. For example, the informal organization described by Elton Mayo in the Hawthorne studies discussed in chapter 2 arises to fulfill workers' needs to socialize and belong to a group.

The esteem needs include both self-esteem and the esteem of others. Workers desire to have their work valued not only by their superiors and their peers but also by themselves; they need to derive self-satisfaction from their work. Some employees stay on a job that does not pay well because of the self-satisfaction they get from it. The desire for prestige and power is also a part of the esteem needs, as is the competitive desire to outdo others. These esteem needs are rarely completely fulfilled. The desire for recognition is never ending for most, and esteem needs can be a potent and reliable source of motivation.

The final level of need described by Maslow is self-actualization, or the need to maximize one's potential. This is the most complex of Maslow's levels. Self-actualization goes beyond the boundaries of everyday life and requires individuals to have an almost religious fervor to fulfill their human potential.[12] This need is rarely completely satisfied.

Maslow's hierarchy has been criticized for being simplistic and artificial. Because every individual is different, many individuals do not pursue needs in the order postulated by Maslow, especially at the higher levels. In addition, it appears that the needs frequently overlap and combine.

Because Maslow's theory was based upon U.S. culture, it is also limited in its applicability to other cultures. Although other Western countries might have cultures that are similar, countries with different value systems might have different hierarchies. For example, E. C. Nevis studied individuals in China and found that the hierarchy of needs there was very different from those that Maslow had proposed. Maslow's hierarchy was based upon workers fulfilling their own individual needs, whereas Chinese culture stressed the importance of needs related to society. According to Nevis, the order of needs in the proposed Chinese hierarchy are:

| Self-Actualization |
| Safety |
| Physiological |
| Belonging |
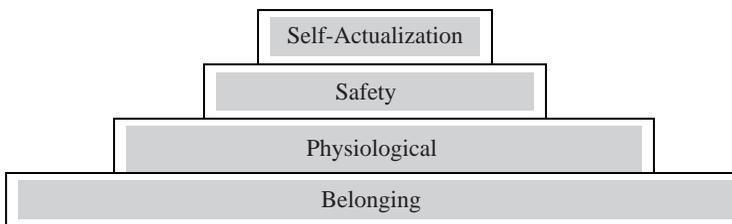
The need for belonging is the most basic need in Chinese culture, and there is no category for self-esteem. Even self-actualization is defined by the contributions made to society.[13] Most of the models of motivation discussed in this chapter are, like Maslow's, based upon U.S. culture, and although they may be applicable in other Western cultures, they are not meant to be universal.

Although Maslow's theory does have flaws and limitations, it has been popular with managers because it provides a conceptual means of understanding the motivation of employees. By identifying an employee's current position in the hierarchy, the manager has an indication of what motivator would be most effective when guiding, counseling, and advising the employee to achieve better performance. The hierarchy tells managers that unfulfilled needs are more motivating than fulfilled needs, and it points out that all needs never can be satisfied, because an individual who satisfies one need immediately begins to try to satisfy another. Managers must realize that need satisfaction will be a continuous problem for any organization.

## Herzberg's Two-Factor Theory of Motivation

In the late 1950s, Frederick Herzberg and his research associates built upon and modified Maslow's ideas. Herzberg formulated a theory of motivation

that focused specifically upon the motivation of employees in a work environment.[14] Figure 13.2 compares the two theories.

To gather information about what leads to high morale in employees, Herzberg and his associates looked at the factors that made employees feel happy and satisfied and at what kinds of things made employees feel dissatisfied. After the data were analyzed, the researchers discovered that one group of factors contributed to employees feeling good about their jobs. Herzberg called these factors *motivators.* These motivators, which are closely related to the actual content of the job itself, include such things as achievement; recognition by supervisors, peers, customers, or subordinates of the work accomplished; the work itself—the aspects of the job that give the worker personal satisfaction; responsibility—being able to work without supervision and being responsible for one's own efforts; and advancement. These factors lead to job satisfaction and are effective in motivating individuals to superior performance.

Another group of factors, which Herzberg labeled *hygiene* or *maintenance factors,* pertains not to the content of the job itself but primarily to the conditions under which a job is performed. These hygiene or maintenance factors

**Figure 13.2—Comparison of Maslow's and Herzberg's Motivation Theories**

MASLOW'S HIERARCHY
OF NEEDS

HERZBERG'S TWO - FACTOR
THEORY OF MOTIVATION

| MASLOW | HERZBERG |
|---|---|
| Self-Actualization | MOTIVATIONAL — Work Itself / Achievement / Responsibility |
| Esteem | Advancement / Recognition / Status |
| Social | MAINTENANCE — Interpersonal Relations / Supervision |
| Safety | Company Policy and Administration / Job Security / Working Conditions |
| Physiological | Salary |
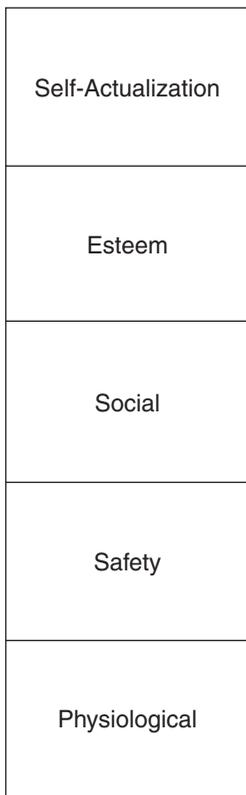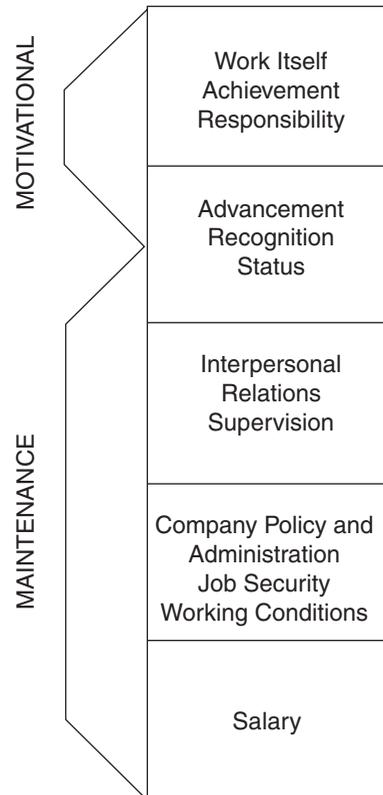
include salary, job security, status, working conditions, quality of supervision, company policy and administration, and interpersonal relationships. These factors do not lead to satisfaction on the job, nor do they serve as motivators. If these factors are inadequate, however, they do lead to dissatisfaction.

These two sets of factors are relatively independent of each other, and each set affects behavior in different ways. When people are satisfied with their jobs, the satisfaction is connected to the work itself. When they are dissatisfied with their jobs, they are usually unhappy with the environment in which they work. The factors that motivate workers are intrinsic to the job itself; the factors that cause dissatisfaction are extrinsic to it.

Later research has both supported and rejected Herzberg's model. Nevertheless, the two-factor motivational theory still has relevance to managers. It implies that the hygiene or maintenance factors must be satisfactory, because they provide a base on which to build. If employees are unhappy about their salary, status, or working conditions, they will be dissatisfied in their jobs. But merely providing these maintenance factors is not enough. If managers want employees to be motivated, they must provide what Herzberg called the motivators; that is, managers must ensure that jobs are interesting and challenging to employees. They must emphasize achievement, recognition, the work itself, and growth, all of which are factors that workers find intrinsically motivating.

Herzberg argued that job enrichment is one of the most effective methods of motivating employees.[15] However, he cautioned against horizontal job loading, merely adding more meaningless tasks to be performed by the worker. In a library, allowing a shelver to shelve both books and periodicals is not likely to improve motivation. True job enrichment involves vertical job loading, which consists of both making jobs more challenging and allowing the worker more responsibility. An enriched job uses more of the employee's talents and provides more freedom in decision making. (More information about job redesign may be found in chapter 8.)

Herzberg's research shows that job enrichment leads to better motivated and more productive employees. Although today Herzberg's theory does not have the wide popularity it once had, it still has had a strong influence on how jobs are designed and on how managers view the relationship between a worker's job and job satisfaction.

As a result of interest in job enrichment and its motivational force for workers, many organizations have established Quality of Working Life (QWL) programs. QWL is a broad approach to job enrichment that attempts to satisfy the personal needs of employees through their work experience. The QWL focus on individual needs contrasts sharply with traditional personnel programs, with their emphasis on the productive capability of the worker. Proponents of QWL claim that work can be redesigned to meet workers' psychological needs, such as feelings of competency and self-esteem, while at the same time improving productivity. The six major characteristics usually included in QWL programs are autonomy, challenge, expression of creativity, opportunity for learning, participation in decision making, and use of a variety of valued skills and abilities.[16] There is evidence that links exist not only between QWL programs and employee satisfaction but also between QWL programs and an institution's financial success.[17] Even in libraries that do not have formal

QWL programs, attempts are being made to improve working conditions and make jobs more satisfying, both for professional librarians and for the support staff. Many individuals who work in libraries are motivated by such workforce innovations as flextime and the ability to telecommute to work at least part of the time.

## McClelland's Need Theory

David McClelland's work offers us a different perspective on what motivates workers. McClelland proposed that there are three major categories of needs among workers:

1. **The need for achievement** (nAch), which is the drive to excel in relation to a set of standards. It is the drive to succeed.
2. **The need for power** (nPow) is the desire to have an impact on an organization and to be influential.
3. **The need for affiliation** (nAff) is the desire for close interpersonal relationships.

Workers with a high need for achievement wish to succeed and advance. They seek situations in which they can assume responsibility. Accomplishment is important for its own sake. Those workers with a high need for power want to influence people and make an impact on their organizations. They want to be in charge. If workers have a high need for affiliation, they have a drive to relate to people on a social basis and to have close interpersonal relationships. They prefer cooperative rather than competitive situations.

McClelland used a projective test, the Thematic Apperception Test (TAT), in this research. Each subject was shown a picture and asked to write a story about it. For instance, a picture might depict a boy at a desk with a book. A subject identified as low in nAch might write a story about the boy daydreaming, whereas someone high in nAch would write that the boy was studying hard to do well and was worried about a test that he had to take. In addition to the TAT, McClelland and his associates also used questionnaires asking about such things as career preferences, the role of luck in outcomes, and similar subjects.[18]

McClelland's theory differed from earlier ones in that he thought that the three needs were learned.[19] "Motivation is inculcated in children through the stories and role models presented to them as things admired in their society. As adults, they seek to emulate the heroes and values of their childhood lessons."[20] But McClelland also believed that adults are changeable, and some of his later work deals with the idea of developing greater nAch, especially in workers of other societies. He attempted to train managers in organizations in less developed countries to increase their nAch, thereby increasing the success of these organizations. He claimed that this attempt was successful. For instance, 50 businesspeople he had trained in India invested more money in local ventures, participated in more community development activities, and created more jobs than a control group that had not been trained.[21]

## What Would You Do?

The Serials Department at the library at Heaton University is facing a severe personnel shortage. As the department head, Muriel O'Brien, explains to the library director:

"Sarah, Inez, Zoë, and I have been working two extra hours a day for several weeks to try to keep up. And even with that we're way behind. Now, Sarah has gotten ill, and I don't know what we're going to do. I can't ask Inez and Zoë to work any more hours. They've been good sports. I've also been working every Saturday, as well as the two extra hours a day."

"I'm sorry about that," the library director said, "and I greatly appreciate what you have been doing. Since we can't pay you overtime the way we do with the clerks, Ill try to arrange some compensatory time when things get to normal—if they ever do."

Heaton University has a freeze on new hiring, and student assistants cannot handle the work that needs to be done in the serials department.

If you were Muriel O'Brien what would you do next?
(For the rest of this case study, see http://www.lu.com/management.)

A manager using McClelland's theory of motivation would try to match various aspects of the work with the employee's need. Like many of the other theories, McClelland suggests that the worker has to be matched with a job that fulfills his or her needs if that worker is to be as successful as possible. For instance, a worker with a high nAch should be given a job that challenges him or her and that allows personal responsibility.

## THE PROCESS MODELS

In contrast to the content models of motivation, which try to identify the specific needs or values that contribute to motivation, the process models of motivation focus on the psychological and behavioral processes involved in motivation. The basic assumption underlying the process models is that "internal cognitive states and situational variables interact in the motivational process. The individual is an active factor, selecting behaviors based on his or her needs and based on expectations about what kind of behavior will lead to a desired reward."[22] Four of the best-known process models of motivation are the equity, the expectancy, the behavioral modification, and the goal-setting theories.

### Adams's Equity Theory

John Stacey Adams, a behavioral psychologist, developed the equity theory of job motivation. This theory relates to the balance that exists between the

inputs and the outputs of a particular employee's job in comparison to the inputs and outputs of other employees' positions. The other positions that employees use as reference points for comparison can be either within the same organization or in another one. The equity model states that an employee compares the perceived inputs and outputs and then tries to achieve equity between the positions. The inputs are thing such as hours worked, how much effort is expended on the job, the requirements of the job, and the ability or educational level required for the job. The outputs are things such as amount of pay, vacation time, job security, recognition, and praise. Employees compare the inputs and outputs of their particular position to those of similar positions, and if they do not think that there is equity between the two, they are motivated to reduce the perceived inequity. For example, if employee A compares himself to employee B and thinks that the ratios of the inputs and outputs are not equitable, employee A may begin to expend less effort on his work. Employee A also might ask for a raise to try to increase his rewards, or he might try to get employee B to work harder. If equity cannot be achieved, employee A might try to get a different job. Employees who feel underpaid will usually make efforts to readjust the equity by working less, whereas those who feel overpaid usually will try to do the same by working harder. The equity theory emphasizes the importance of a reward system that is perceived as fair by employees. Good managers will try to maintain an equitable reward system and be sure that employees understand how highly visible rewards, such as pay or promotions, are apportioned.[23]

---

## ❓ What Would You Do?

You are the supervisor of a 12-person copy cataloging department in a very large public library. Sydney Brown, one of your employees, has just had his position reclassified, which will result in a higher pay level. Sydney has long been working at a higher level than his present job classification, and you are delighted that this reclassification, which you have been trying to achieve for months, has finally been approved. When word about the reclassification becomes public, you are surprised that a number of Sydney's co-workers do not share your feelings about it. Several complain to you that they have the same level of responsibility in their work that Sydney does, but they have not been promoted. They think you have treated them unfairly by pushing for a reclassification of Sydney's position.

What would you do in a case like this?

---

## Vroom's Expectancy Theory

A number of individuals have developed expectancy theories of motivation.[24] Expectancy theories are based upon the belief that individuals act in such a way as to maximize desirable results and minimize undesirable ones.

Among the best known of these theories is one put forth by Victor Vroom.[25] This theory is more complex than the content theories. It emphasizes how motivation takes place, given an individual's needs and objectives. The theory focuses on an individual's decision making and on the process that he or she goes through in deciding whether to exert the effort to attempt to achieve a particular goal.

Vroom's theory states that people will be motivated to perform to reach a goal if they believe in the worth of the goal and if they perceive that what they do will contribute to the achievement of that goal. The expectancy model is composed of four elements. Force is the motivational drive to achieve a goal. Valence is the extent to which an individual desires a certain outcome or goal. Expectancy is the perceived probability that a particular outcome will lead to a desired result, a result that is called the first-level outcome. Instrumentality is the degree to which an individual believes that a first-level outcome is related to a second-level outcome, which is defined as some human need, such as companionship, esteem, or accomplishment. Vroom's model can be stated in the following formula:

**Force = Valence × Expectancy × Instrumentality**

To illustrate this theory, consider a worker who wants to be promoted. This individual thinks that the best way to achieve the promotion would be to increase job performance. The motivation (force) to improve job performance would be a product of the intensity of the desire for promotion (valence) multiplied by the worker's perception of how likely it is that working harder can improve job performance (expectancy) multiplied by the worker's perception of how likely it is that improved job performance will lead to a promotion (instrumentality). In this example, improved job performance is the first-level outcome and promotion is the second-level outcome.

Vroom's formula is a multiplicative one; as soon as the value of any element drops to zero, so does the motivational force. In the previous example, if the worker felt that, despite improved job performance, there was no chance for promotion, the motivation to improve job performance would be zero. Likewise, if the worker felt that, despite any effort, there was no way to improve job performance, again the motivation would be nonexistent.

Vroom's theory is important because it highlights how people's goals influence their efforts; the behavior of an individual is a function of (1) his or her belief in the efficacy of that behavior in achieving a goal and (2) his or her desire to achieve a goal. Because the theory recognizes the importance of various individual needs and motivations, it demonstrates to managers that motivation is highly individualized. A manager must try to learn the special concerns of each employee and what each individual values. The manager also must make clear to employees the connections between performance and reward. This theory also points out some situations that should be avoided in organizations. If an organization says it has a merit system for awarding pay raises, and if more employees get high evaluations than there is money available for pay raises, there obviously will be less motivation in the future to try to work well enough to get a high evaluation because the reward that was promised was not forthcoming.

**? What Do You Think?**

Jeanne works in the cataloging department of a large academic library. She has been told by her manager several times in the last few years that good performance will result in a promotion. Although Jeanne's evaluations have been consistently good, she has not been promoted. Now her manager has asked her to take responsibility for a special project and has promised her a promotion if this project is successful. If you were Jeanne how likely would you be to take on this new responsibility?

Vroom's theory, because it emphasizes the individual, is more difficult to apply than those of Maslow and Herzberg, which are general theories of motivation. But Vroom's theory avoids some of the more simplistic features of the content theories, and it also seems to more adequately account for the diversity in motivational needs seen in employees. There has been extensive research done on this model, and the research bears out the premise that people tend to work hard when they think that working hard either will lead to desirable outcomes or will avoid undesirable ones.

## Behavior Modification

B. F. Skinner, one of the leading proponents of the behavioristic school of psychology, provides managers with yet another process model of motivation. Behavior modification, unlike the other motivational theories discussed, is based on observed behavior, not on individual attitudes, desires, and emotions. Skinner's emphasis is on operant behavior, behavior that has been shaped and modified—that is, controlled—by its consequences. Individuals act as they do because of reinforcements received in the past for similar behavior. Reinforcement is defined as a consequence that follows a response and that makes a similar response more likely in the future. Reinforcements can be tangible (e.g., money or food) or intangible (e.g., praise or attention). According to Skinner, there are four methods for modifying behavior: positive reinforcement, negative reinforcement, no reinforcement, and punishment.[26] Positive reinforcement, according to Skinner, is the most effective long-range strategy for motivating individuals. Positive reinforcement is a reward given after a behavior that the motivator wishes to see continued. Positive reinforcement tends to strengthen this behavior and to make it more likely to occur again. Managers can offer a wide range of positive reinforcements, including pay increases, promotions, and praise. When a behavior or act is followed by the termination or withdrawal of something unpleasant, it is called negative reinforcement. For instance, if a supervisor criticizes a worker for coming to work late, the worker's desire to eliminate this criticism may cause the worker to come to work on time. No reinforcement leads to the extinction of a behavior. Because the behavior is not reinforced in one way or another, it decreases in frequency and then stops. If the manager neither praises nor

criticizes the worker who talks loudly to attract the manager's attention, the unwanted behavior is not being reinforced, and it should stop eventually. Punishment is an unpleasant event that follows unwanted behavior; punishment is intended to decrease the frequency of that behavior. Punishments that managers can inflict include demotion and firing.

Skinner's work has been criticized by those who say it treats humans as passive objects and denies the existence of individual free will. In practical terms, it is more difficult to apply behavior modification principles in the workplace than in the controlled setting of a laboratory. Scientists working with rats are able to deprive the animals of food so that they are hungry and then provide food immediately after the desired behavior occurs. They can do this and be certain that no uncontrolled variable has influenced the rats' behavior. Although the workplace provides managers many opportunities to practice behavior modification on employees, managers who try this must do it in an environment in which uncontrolled variables are always intruding. Nevertheless, some organizations have used Skinner's principles of behavior modification to motivate employees. One of the most frequently cited success stories of the use of behavior modification in business occurred at Emery Air Freight, where, over a three-year period, $2 million was saved by identifying performance-related behaviors and strengthening them with behavior modification.[27]

Behavior modification, although difficult to institute systematically and thoroughly, provides managers with several principles that can be applied in any type of organization. Be sure that employees who are performing as desired receive positive reinforcement, and remember that positive reinforcement is more effective in modifying behavior than either negative reinforcement or punishment. Although negative reinforcement and punishment traditionally have been popular means of control among managers, they have serious drawbacks and side effects. Among these drawbacks are temporary suspension of behavior rather than permanent change, dysfunctional emotional behavior, behavioral inflexibility, permanent damage to desirable behavior, and conditioned fear of the punishing agent.[28] For example, employees who are punished for talking on the job learn not to talk when supervisors are around but likely still talk in their absence. Also, they are likely to feel resentful about being punished and will find unproductive ways of acting out such feelings by thwarting the supervisors' goals.

Behavior modification works best when a job has specific variables that can be identified and reinforced. Some of the clerical jobs performed by library support staff fall into this category. For instance, error rate is subject to behavior modification techniques. Employees who complete tasks error free could be rewarded in some fashion. However, when jobs are more complex, it is more difficult to use behavior modification. Much of the work done by librarians is largely intellectual, and it would be difficult to identify, measure, and reinforce many of the behaviors that constitute such work.

## Goal-Setting Theory

The last of the process theories that will be discussed is the goal-setting theory. This theory, first propounded by Edwin Locke, states that specific

goals increase performance and that difficult goals, when accepted by employees, lead to higher performance than do easier goals.[29] There have been more than 500 studies on goal setting in organizations in at least eight countries; about 90 percent of these studies have shown positive results.[30] This theory has a number of propositions:

- The more difficult the goal, the higher the performance achievement.
- The more specific the goal, the more explicitly performance is regulated.
- The best way to get high performance is to make goals both specific and difficult.
- Goal setting is most effective when there is feedback.
- In order to maximize performance, one must have both goals and feedback.
- To get people committed to a goal, they must be convinced that the goal is important and that it is reachable or partially reachable.
- The higher an individual's self-confidence, the higher the goals the person will be willing to set, the more committed the person will be to difficult goals, the more resilient and persistent the person will be in the face of failure, the better task strategies the individual likely will be to develop, and the better the person will perform.
- Participation is more valuable as an information exchange device for developing task strategies than as a method of gaining commitment to goals.
- The more successful the performance in relation to the goals, the greater the degree of satisfaction experienced.[31]

Goal setting helps point employees toward what is important in the organization. Setting difficult yet achievable goals (sometimes called stretch goals) helps employees know what they should be attempting to achieve. Imagine that you are an original cataloger in a large library. Would it be more motivating to be told that you should do the best you can or to be told that you are expected to do original cataloging for 12 English-language books a day? Having a goal to meet allows an employee to know the expectations of the employer and gives that employee an objective to try to meet. Finally, achieving a goal that has been set is very satisfying and fulfills both the need for self-esteem and the need for achievement. It often stimulates an employee to try to do even more the next time.

Goal setting that incorporates only a few of these elements will not be successful. To implement goal setting successfully, the elements illustrated in figure 13.3 must be included.

## HOW SHOULD MANAGERS MOTIVATE?

Motivation is a complex factor, and managers face a wide array of approaches for promoting commitment to jobs within an organization. As one expert states:

**Figure 13.3—Elements of Effective Goal Setting**
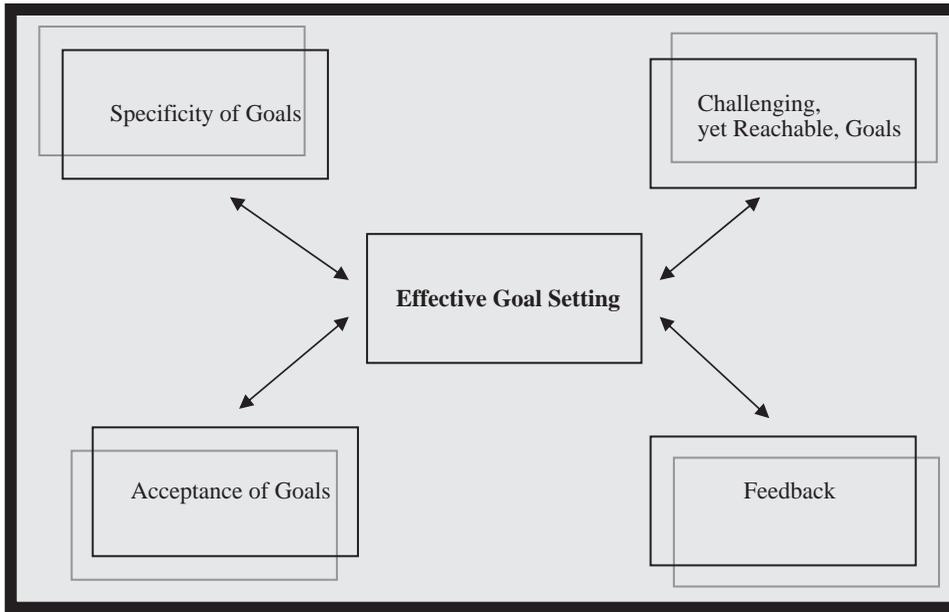


*Source:* Adapted from Edwin A. Locke, "Motivation by Goal Setting," in *Handbook of Organizational Behavior*, 2nd ed., ed. Robert T. Golembiewski (New York: Marcel Dekker, 2001).

The issue of how to understand and influence human motivation has proven to be one of the most recalcitrant problems in human psychology. The fundamental reasons for this are that motivation at root comes from within the individual and is most directly controlled by the individual. Since motivation is "inside" the person, it cannot be observed directly, and since individuals possess freedom of choice … people cannot be controlled directly from the outside.[32]

## Try This!

Although employees usually appreciate monetary rewards, cash incentives are definitely not the only way to motivate employees. Elisha F. Topper, director of the Dundee Township Public Library, offers these suggestions:

Don't forget to say "thank you" when staff put in extra effort on the job, and be sure to carry this practice over into staff meetings by adding to the agenda time to issue thanks and compliments.

Create an employee motivation program with departmental awards for exceptional work, perhaps with an emphasis on customer service.

Make a "thanks for your help" box and ask staff to drop in the names of fellow employees who go beyond the call of duty; then hold a monthly drawing for a small gift.

> Celebrate the completion of major projects with a special coffee break with treats.
>
> Be sure to acknowledge the anniversary date for each employee either with a paper or electronic card.
>
> Try thinking of some other nonmonetary ways to thank employees.
>
> _____
>
> Elisha P. Topper, "Working Knowledge: Knowing How to Say 'Thank You,'" *American Libraries* 35, no. 1 (January 2004): 96.

Raymond Katzell and Donna Thompson have endeavored to summarize the vast body of research on motivation into a series of seven imperatives:

1. Ensure that workers' motives and values are appropriate for the jobs in which they are placed.
2. Make jobs attractive to and consistent with workers' motives and values.
3. Define work goals that are clear, challenging, attractive, and attainable.
4. Provide workers with the personal and material resources that facilitate their effectiveness.
5. Create supportive social environments.
6. Reinforce performance.
7. Harmonize all of these elements into a consistent sociotechnical system.[33]

To carry out all of the seven imperatives is a daunting task, but one that managers need to attempt. A manager must adopt a managerial style that motivates workers to perform tasks efficiently, but, unfortunately, no one prescribed style assures success. Rather, managers must develop individual approaches based on their personality, managerial philosophy, and knowledge of their workers. The effective manager takes advantage of the worker's reasons for working and offers inducements related to those reasons. Thus, a system of inducements, rather than a single inducement for all workers, emerges. Some inducements may have to be negative, but the majority should be positive. A system of inducements is not designed for across-the-board application but is designed to provide workers with those inducements that best motivate them.

A sound motivational system is based on principles derived from motivation research, on the policies of the organization, and on the manager's philosophy of human needs. Essential to any motivational system is the organization's ability to satisfy employee needs. This is difficult to accomplish because the needs of humans vary greatly and are subject to change. Maslow's hierarchy of needs gives the manager a guide to the range of needs, from basic life requirements to social, ego, and creative needs. Herzberg's studies provide information about the need for recognition, achievement, advancement, and responsibility. McClelland's work shows that different individuals have different learned needs that affect the way they approach a work situation.

Vroom's research demonstrates the importance of considering each individual's aspirations and of coupling performance to reward. Skinner's work makes evident the importance of positive reinforcement in ensuring continued desirable behavior. Locke's goal-setting theory shows the significance of goals as a means of helping employees achieve a higher level of performance.

The policies of the organization should be structured so that the capacity to do good work is encouraged. Good productivity reflects the quality of employee motivation. Ideally, an organization's goals and objectives motivate an employee who wants to be part of and contribute to their achievement. Certainly this is so in the library profession. A high degree of success in achieving the goals and objectives creates a positive image of the organization; the worker is proud to be part of the organization and is motivated to promote its success through efficient work.

## CONCLUSION

Any system of motivation depends on managers. The manner in which they apply their knowledge of employee needs and desires, the organizational environment that releases the capacity for work, the quality of training received by capable employees, and the pride these employees have in the organization establish the basic climate of the motivational system. It is the manager's responsibility to exercise sound judgment to make the system work.

## NOTES

1. Abraham Zaleznik, "Real Work," *Harvard Business Review* 75 (November–December 1997): 56.

2. John J. Morse and Jay W. Lorsch, "Beyond Theory Y," *Harvard Business Review* 48, no. 3 (May–June 1970): 61–68.

3. Keith Davis and John W. Newstrom, *Human Behavior at Work: Organizational Behavior,* 8th ed. (New York: McGraw-Hill, 1989), 4.

4. Ibid., 9–12.

5. J. Sterling Livingston, "Pygmalion in Management," *Harvard Business Review* 47, no. 4 (July–August 1969): 81–89.

6. Jean-Francois Manzoni and Jean-Louis Barsoux, "The Set-Up-to-Fail Syndrome," *Harvard Business Review* 76 (March–April 1998): 101–13.

7. Meshack M. Sagini, *Organizational Behavior: The Challenges of the New Millennium* (Lanham, MD: University Press of America, 2001), 449.

8. Cited in Paul Hersey and Kenneth H. Blanchard, *Management of Organizational Behavior: Utilizing Human Resources* (Englewood Cliffs, NJ: Prentice-Hall, 1982), 4.

9. O. Jeff Harris and Sandra J. Hartman, *Organizational Behavior* (Binghamton, NY: Haworth Press, 2002), 200.

10. Abraham H. Maslow, *Motivation and Personality,* 2nd ed. (New York: Harper & Row, 1970), 35ff.

11. It is important to remember that workers' basic needs are not fulfilled in all cultures. See, for example, Kalu U. Harrison and P. Havard-Williams, "Motivation in a Third World Library System," *International Library Review* 19 (July 1987): 249–60.

12. Dennis M. Daley, *Strategic Human Resource Management: People and Performance Management in the Public Sector* (Upper Saddle River, NJ: Prentice Hall, 2002) 56.

13. E. C. Nevis, "Using an American Perspective in Understanding Another Culture," *Journal of Applied Social Behavior* 19 (1983): 249–64.

14. Frederick Herzberg, Bernard Mausner, and Barbara Bloch Snyderman, *The Motivation to Work,* 2nd ed. (New York: Wiley, 1959).

15. Frederick Herzberg, "One More Time: How Do You Motivate Employees?" *Harvard Business Review* 46 (January–February 1968): 53–62.

16. Charles Martell, "Achieving High Performance in Library Work," *Library Trends* 38, no. 1 (Summer 1989): 82.

17. R.S.M. Lau and B. E. May, "A Win-Win Paradigm for Quality of Work Life and Business Performance," *Human Resource Development Quarterly* 9 (October 1998): 211.

18. Hal G. Rainey, "Work Motivation," in *Handbook of Organizational Behavior,* 2nd ed., ed. Robert T. Golembiewski (New York: Marcel Dekker, 2001), 27.

19. David C. McClelland, *The Achieving Society* (New York: Free Press, 1961); David C. McClelland, *Power, the Inner Experience* (New York: Irvington, 1975).

20. Daley, *Strategic Human Resource Management,* 58.

21. David McClelland and D. G. Winter, *Motivating Economic Achievement* (New York: Free Press, 1969).

22. Sagini, *Organizational Behavior,* 462.

23. J. Stacy Adams, "Towards an Understanding of Inequity," *Journal of Abnormal and Social Psychology* 67 (1963): 422–36.

24. See, for example, Edward E. Lawler, *Motivation in Work Organizations* (Pacific Grove, CA: Brooks/Cole, 1994); and Victor H. Vroom, *Work and Motivation* (New York: Wiley, 1964).

25. Vroom, *Work and Motivation.*

26. B. F. Skinner, *Science and Human Behavior* (New York: Macmillan, 1953).

27. E. J. Feeney, "At Emery Air Freight: Positive Reinforcement Boosts Performance," *Organizational Dynamics* 1 (Winter 1973): 41–50.

28. F. Luthans and R. Kreitner, *Organization Behavior Modification* (New York: Scott, Foresman, 1975), 118.

29. Edwin A. Locke, "The Ubiquity of the Technique of Goal Setting in Theories and Approaches to Employee Motivation," *Academy of Management Review* 3 (1978): 594–601.

30. Edwin A. Locke, "Motivation by Goal Setting," in *Handbook of Organizational Behavior,* 2nd ed., ed. Robert T. Golembiewski (New York: Marcel Dekker, 2001), 48.

31. Ibid., 44–48.

32. Ibid., 43.

33. Raymond A. Katzell and Donna E. Thompson, "Work Motivation: Theory and Practice," *American Psychologist* 45 (February 1990): 151.