*Principles of Leadership and Management in Law Enforcement*

Chapter 2

Introduction to Management
Theory

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Historically, management can be divided into two broad perspectives:
**Classical** and **Humanistic**

I. Classical Management
A. Scientific Management
  Frederick Taylor
  Henry Gantt
  Frank and Lillian Gilbreth
B. Bureaucratic Management
  Max Weber
C. Administrative Management
  Henri Fayol
  Mary Parker Follett
  Chester Barnard

II. Humanistic Management
  A. Human Relations
    Elton Mayo
    Abraham Maslow
  B. Behavioral Systems
    Kurt Lewin
  C. Human Resource
    Douglas McGregor
    Rensis Likert
  D. Systems Approach
    Peter Drucker
    W. Edwards Deming

# Scientific Management

Frederick Winslow Taylor is the father of **scientific management**. Taylor's system: (1) determining a time for each step in a work process and (2) using a strict management system to keep the workers on that timetable. Taylor's **principle of exception-** lower-level managers handle routine matters and higher-level mangers only receive reports of deviations above or below standard performances.

Henry Gantt developed the **Gantt Chart**, emphasizing time rather than quantity, volume, or weight as the key factor in planning production. Production inefficiency is the result of management's inability to formulate realistic standards. Work needs to be effectively scheduled and workers needed to be motivated through offers of production bonuses.

Frank and Lillian Gilbreth proposed that observing and **analyzing how repetitive tasks were performed**, one could discover the single best way of performing any job. By dividing any activity into smaller and smaller discrete steps and then reassembling those steps in a "better" way, more efficient work could be done.

# Bureaucratic Management

Max Weber considered **bureaucracy** to be an efficient, rational, and honest improvement over haphazard administrations.
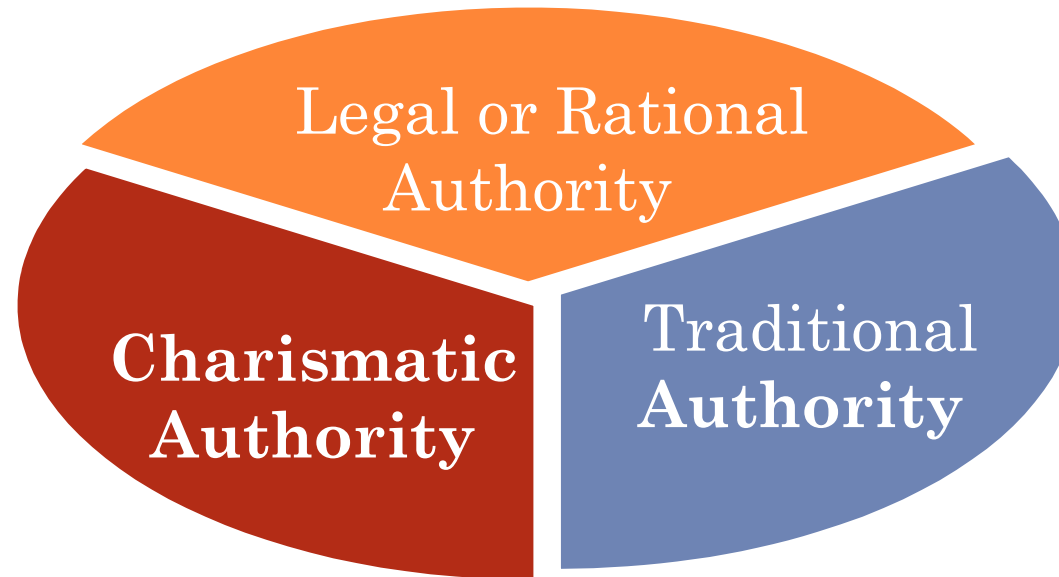


His bureaucracies were based on authority and found three basic types:
1. **Legal or rational authority**: Based on law, procedures, rules, etc.
2. **Charismatic authority**: Based on the personal qualities of an individual.
3. **Traditional authority**: Based on family relationships.

Police organizations are bureaucracies with rules, **division of labor**, written records, hierarchy of authority, and impersonal procedures. However, bureaucracies are not very responsive to their customers.

# Administrative Management

Henri Fayol identified five functions of management:
1. Forecast and plan: examine the future and drawing up plans of action
2. Organize: build up the structure, material, and personnel
3. Command: maintain activity among the personnel
4. Coordinate: bind, unify, and harmonize activities and effort
5. Control: ensure everything occurs with policy and practice

14 principles of management common to all organizations.

1. Specialization of labor
2. Authority
3. Discipline
4. Unity of command
5. Unity of direction
6. Subordination of individual interests
7. Remuneration
8. Centralization
9. Scalar chain (line of authority)
10. Order
11. Equity
12. Personnel tenure
13. Initiative
14. Esprit de corps

**Mary Parker Follett** was a political scientist, social worker, speaker, and advisor to leaders concerned with labor-management relations. She referred to "functional relating" and "coordination" within organizations and their impacts on the dynamics of the whole.

**Chester I. Barnard** enjoyed a 45-year career in the communications. Barnard acknowledges communication principles in *Functions of the Executive.* These principles included:

- It is important that channels of communication are well defined.
- Leadership channels communication to every member of the organization.
- Lines of communication must be direct and short as possible.
- A complete line of communication should be used.
- Competence of persons within the communication processes must be adequate.
- Lines of communication should not be interrupted.
- Every communication should be authenticated.
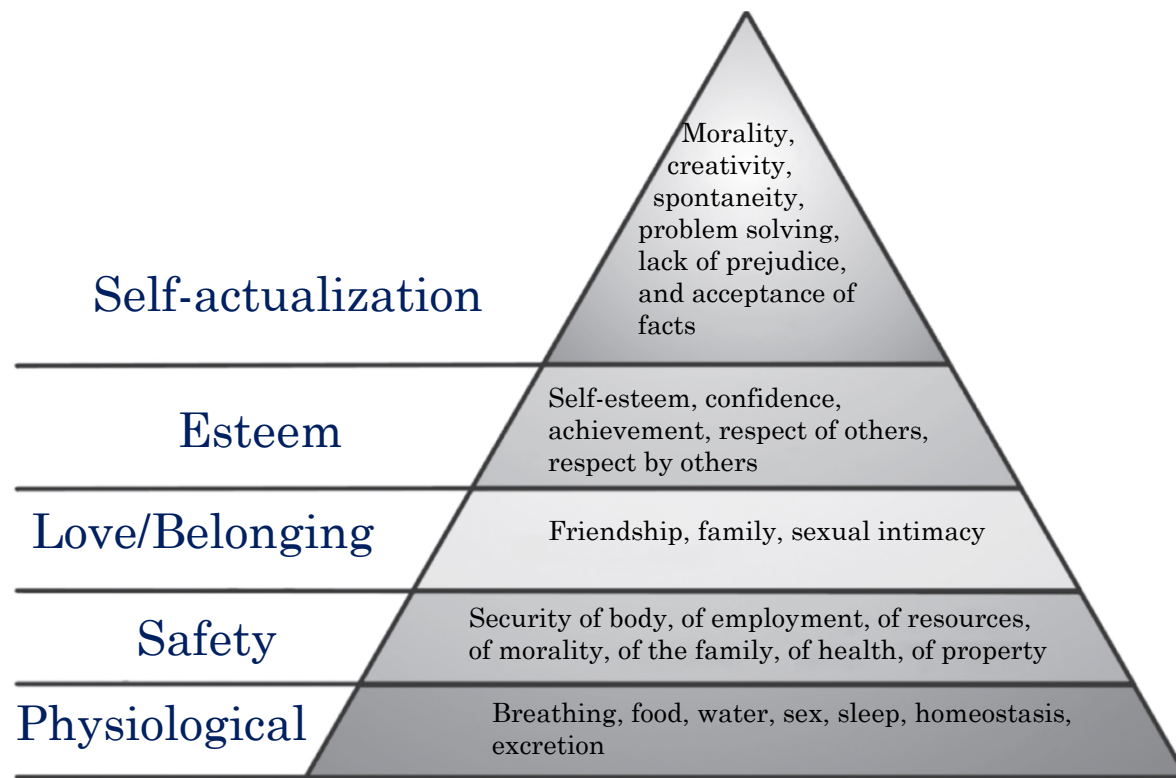
# The Human Relations Movement

George Mayo guided a famous series of experiments known as the **Hawthorne Studies**. The 9-year study took place at the Hawthorne Works-Western Electric plant outside of Chicago and generated a mountain of documents, from hourly performance charts to interviews with thousands of employees.

*The Hawthorne phenomenon - subjects in behavioral studies change their performance in response to being observed*. Four general conclusions drawn from the Hawthorne studies:

- The aptitudes of individuals are imperfect predictors of job performance. Although they give some indication of the physical and mental potential of the individual, the amount produced is strongly influenced by social factors.
- Informal organization affects productivity. The Hawthorne researchers discovered a group life among the workers. Studies showed that the relations that supervisors develop with workers tend to influence the manner in which the workers carry out directives.
- Work-group norms affect productivity.
- The workplace is a social system. The Hawthorne researchers came to view the workplace as a social system made up of interdependent parts.

Abraham Maslow developed the **need hierarchy**, suggesting that there are five sets of goals that may be called basic needs.

- *Physiological or basic needs*: oxygen, food, water, and shelter.
- *Safety needs*: from physical harm, financial security, and secure employment.
- *Belonging needs*: being accepted by others and being loved by one's family.
- *Self-esteem needs*: a stable, firmly based, high level of self-respect, and respect from others in order to feel satisfied, self confident, and valuable.
- *Self-actualization needs*: a person's need to be and do that which the person was born to do. It is their "calling."

| | |
|---|---|
| Self-actualization | Morality, creativity, spontaneity, problem solving, lack of prejudice, and acceptance of facts |
| Esteem | Self-esteem, confidence, achievement, respect of others, respect by others |
| Love/Belonging | Friendship, family, sexual intimacy |
| Safety | Security of body, of employment, of resources, of morality, of the family, of health, of property |
| Physiological | Breathing, food, water, sex, sleep, homeostasis, excretion |

# Behavioral Systems

Kurt Lewin is most noted for his development of the field theory, a proposition that human behavior is the function of both the person and the environment. Lewin developed **force field analysis**, a technique used in decision making.

- Driving forces are those forces affecting a situation, pushing in a particular direction; they tend to initiate a change and keep it going. In terms of improving productivity in a work group, pressure from a supervisor, incentive earnings, and competition may be examples of driving forces.
- Restraining forces are forces acting to restrain or decrease the driving forces. Apathy, hostility, and poor maintenance of equipment may be examples of restraining forces against increased production.

Equilibrium is reached when the sum of the driving forces equals the sum of the restraining forces.

| Driving Forces | Restraining Forces |
|---|---|
| Autocratic control of shift sergeant  pressures patrolmen to produce more traffic tickets.   → | ← Police officers develop animosity toward shift sergeant |
| | ← Absenteeism increases, productivity decreases. |
| New sergeant places less emphasis on increased  production of traffic tickets.   → | |
| New sergeant places more emphasis on public safety training.   → | |

**Douglas McGregor** formulated Theory X and Theory Y.

### Theory X Assumptions

- The average human being has an inherent dislike of work and avoids it.
- Most people must be coerced, controlled and directed, and threatened with punishment to get them to put forth adequate effort.
- The average human prefers to be directed and wants security above all.

### Theory Y Assumptions

- The expenditure of physical and mental effort in work is natural.
- External control and the threat of punishment are not the only means for bringing about effort toward organizational objectives.
- People will exercise self-direction and self-control if they are committed.
- Commitment to objectives is a function of the rewards.
- The average person learns not only to accept but to seek responsibility.
- The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely distributed in the population.
- Under the conditions of modern industrial life, the intellectual potentialities of the average man are only partially utilized.

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**Rensis Likert** examined different types of organizations and leadership styles, and he asserted that to achieve maximum profitability, good labor relations, and high productivity, every organization must make optimum use of their human assets. He suggests that a **linking pin** pattern occurs one person serves simultaneously in two groups: a member of one group (a higher group in the hierarchy) and the leader of another group (a lower group in the hierarchy).

Likert identified four different management systems or climates: (1) exploitive authoritative, (2) benevolent-authoritative, (3) consultative, and (4) participative groups.

1. The exploitive-authoritative system exists in organizations where:
• decisions are imposed on subordinates
• where motivation is characterized by threats
• where high levels of management have great responsibilities, but lower levels have virtually none
• where there is very little communication and no joint teamwork

2. The benevolent-authoritative system occurs when:
• leadership is characterized by a condescending form of master-servant trust
• where motivation is mainly by rewards
• where managerial personnel feel responsibility, but lower levels do not
• where there is little communication and relatively little team

3. The <u>consultative</u> system refers to:
• leadership by superiors who have substantial but not complete trust in their subordinates; where motivation is by rewards and some involvement
• where a high proportion of personnel, especially those at the higher levels, feels responsibility for achieving organization goals
• where there is some communication and a moderate amount of teamwork.

4. The <u>participative-group</u> system exists in organizations where leadership is by superiors who have:
• complete confidence in their subordinates
• where motivation is by economic rewards based on goals that have been set in participation
• where personnel at all levels feel real responsibility for the organizational goals
• where there is much communication and a substantial amount of cooperative teamwork

Peter Drucker introduced **Management by Objectives** (MBO).

## Steps in the MBO Process

➢ Describe roles and missions: "Who does what?" Goals are established jointly and agreed upon in advance.

➢ Define key result areas.

➢ Identify indicators of effectiveness: "What is good performance?"

➢ Set objectives with a bottom-up process described above:

➢ Decide on task-oriented and process-oriented action plans.

➢ The team monitors progress: information, reports, conversations, etc.

➢ Communication is the grease for the MBO wheel, it keeps everyone running smoothly.

➢Teams must continually communicate to everyone (management included) on progress toward achieving their objectives, and vice-versa. Use of newsletters, wall charts, memos.

➢ Everyone (management and teams) evaluates results, makes necessary adjustments, and sets new objectives. MBO must be a continuous process; it must be part of an on-going system.

➢ A final mutual review of objectives and performance takes place. This sets the stage for the determination of objectives for the next time period. The objectives in an MBO system must be inextricably linked to the company's mission statement. Every objective must help accomplish the overall mission, then managers must "manage to the mission."

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W. Edwards Deming is the founder of **Total Quality Management**. He developed a "system of profound knowledge" as a comprehensive theory for management by which every aspect of life may be improved through the Plan-Do-Check-Act (PDCA) cycle. Deming suggested continuous quality improvement by implementing **14 Management Principles**:

1.  Create constancy of purpose toward improvement of product and service, with the aim to become competitive, to stay in business, and to provide jobs.

2. Adopt the new philosophy. We are in a new economic age. Western management must awaken to the challenge, must learn their responsibilities, and take on leadership for change.

3. Cease dependence on inspection to achieve quality. Eliminate the need for inspection on a mass basis by building quality into the product in the first place.

4. End the practice of awarding business on the basis of price tag. Instead, minimize total cost. Move toward a single supplier for any one item, on a long-term relationship of loyalty and trust.

5. Improve constantly and forever the system of production and service, to improve quality and productivity and thus constantly decrease costs.

6. Institute training on the job.

7. Institute leadership. The aim of supervision should be to help people and machines to do a better job. Supervision of management is in need of overhaul as well as supervision of production workers.

8. Drive out fear, so that everyone may work effectively for the company.

9. Break down barriers between departments. People in research, design, sales, and production must work as a team to foresee problems of production and use that may be encountered with the product or service.

10. Eliminate slogans, exhortations, and targets for the work force asking for zero defects and new levels of productivity. Such exhortations only create adversarial relationships, as the bulk of the causes of low quality and low productivity belong to the system and thus lie beyond the power of the work force.

11. a. Eliminate work standards (quotas) on the factory floor. Substitute leadership.
b. Eliminate management by objective. Eliminate management by numbers, numerical goals. Substitute leadership.

12. a. Remove barriers that rob the hourly worker of his right to pride of workmanship. The responsibility of supervisors must be changed from sheer numbers to quality.
b. Remove barriers that rob people in management and in engineering of their right to pride of workmanship. This means, inter alia, abolishment of the annual merit rating and of management by objective.

13. Institute a vigorous program of education and self-improvement.

14. Put everybody in the company to work to accomplish the transformation.

The transformation is everybody's job.