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# HumRRO

ANNUAL SUMMARY REPORT

PROJECT: LEADERSHIP TRAINING

E. O. Jacobs  
Principal Investigator

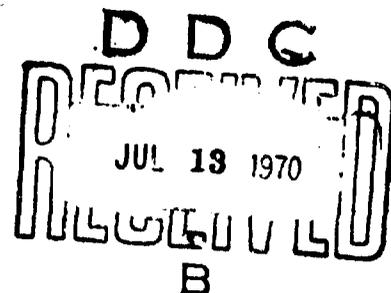
30 June 1970

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**HUMAN RESOURCES RESEARCH ORGANIZATION**

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T. O. Jacobs  
Principal Investigator

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Contract N00014-70-C-J091  
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HUMAN RESOURCES RESEARCH ORGANIZATION

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PROJECT: LEADERSHIP TRAINING

Annual Summary Report

This report summarizes the first year of performance on a project to review and integrate the group psychological and organizational theory research as it pertains to leadership. The first year has been devoted to abstracting the literature relevant to leadership, role theory, reference group theory, social exchange theory, and organizational theory. In addition, a substantial number of reports and journal articles have been generated by various researchers in a continuing effort to identify characteristics of leaders that can be used for predictive purposes. These have also been abstracted. Somewhat more than 900 journal articles, reports, and books have now been abstracted, and catalogued with reference to the subject areas toward which the review will be directed.

The literature was approached from the point of view of the leader-follower-situation concept which has served as the orientation for most of the research on leadership since the critical reviews of Stogdill<sup>1</sup>, Gibb<sup>2</sup>, and Sanford<sup>3</sup> essentially forced abandonment of the trait psychology orientation that had characterized the large volume of research to that point in time. However, the emphasis in the present review was to attempt an integration of this literature around two theoretical systems that appear to have substantial promise for elaboration of the leader-follower-situation orientation, particularly from the viewpoint of dealing with interactions among these three elements, and of bringing the leadership literature into closer congruence with other well-established content areas in sociology and social psychology. These two theoretical systems are social exchange theory (Homans<sup>4,5</sup> and Blau<sup>6</sup>) and role theory (Sarbin<sup>7</sup>).

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<sup>1</sup>Stogdill, Ralph M. Personal Factors Associated with Leadership. A Survey of the Literature. Journal of Psychology, 1948, 25, 35-72.

<sup>2</sup>Gibb, C.A. The Principles and Traits of Leadership. Journal of Abnormal and Social Psychology, 1947, 42, 267-284.

<sup>3</sup>Sanford, F.H. Research on Military Leadership. In Current Trends: Psychology in the World Emergency, J.C. Flanagan (Ed.), Pittsburgh: University of Pittsburgh Press, 1952, pp. 17-74.

<sup>4</sup>Homans, George C. Social Behavior as Exchange. American Journal of Sociology, 1958, 63, 597-606.

<sup>5</sup>Homans, George C. Social Behavior: Its Elementary Forms. New York: Harcourt, Brace & World, 1961.

<sup>6</sup>Blau, Peter M. Exchange and Power in Social Life. Wiley: New York, 1964.

<sup>7</sup>Sarbin, T.R. and Allen, V.L. Role Theory. In Gardner Lindzey and Elliot Aronson (Eds.), The Handbook of Social Psychology (2nd Ed.), Reading: Addison-Wesley, 1968, pp. 488-567.

The relevance of social exchange theory stems from its apparent capacity to:

- a. Treat, under the same basic set of assumptions, the legitimation of power relationships in both emergent leader groups, and appointed leader groups.
- b. Deal with two different aspects of leadership, emergence and maintenance, under the same basic set of assumptions.
- c. Relate leadership as a phenomenon to a more general set of phenomena, such as group norms, socialization processes, etc., on the one hand, and to a growing body of research on power relationships in formal organizations, on the other hand.
- d. Provide a way of conceptualizing the process by which the leader can mobilize the energy resources of his subordinates in both formal and informal organizations toward the achievement of group goals which may be of essentially little interest for them, without resorting to purely materialistic incentives.

Thus, social exchange theory was believed to provide an excellent framework for analysis of power relations, motivation, and maintenance of group performance, and an excellent rubric for organizing the literature on leadership as it relates to these general areas.

While role theory is not conceptually independent of social exchange theory,--some concepts being of mutual interest to both--it does provide a meaningful framework for analysis of the expectations of subordinates for their leader's behavior, and of his capacity for responding to these expectations. It also provides an interesting and somewhat more behaviorally oriented alternative to trait theory. (Brim<sup>1</sup> provides a good critique of trait theories of personality, and attempts to deal with personality as an individual's learned repertoire of roles.)

Taken together, these two frameworks constitute what is felt to be an excellent means for integrating the existing literature, having the combined capacity to deal with the leader's behavior in a relatively meaningful manner, and with phenomena of group motivation toward high productivity, etc., as his behavior affects this.

The writing of the review has been initiated, with the chapter outline shown in Appendix A as a guide.

#### Plans for Next Quarter

While the complexity of the literature, and several unexpected difficulties have delayed the completion of the review beyond the originally expected completion date, it is planned that the writing will be finished by the end of the first quarter of FY 1971.

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<sup>1</sup>Brim, Orville G. Personality Development as Role-Learning. In Ira Iscoe and N.W. Stevenson (Eds.), Personality Development in Children, Austin: University of Texas Press, 1960, pp. 127-159.

Personnel Participating in Project

Dr. T. O. Jacobs (Principal Investigator)

Mr. Harold E. Christensen (Research Scientist)

Mrs. Fay F. Williams (Research Assistant)

Appendix A

CHAPTER OUTLINE

LEADERSHIP AND EXCHANGE IN HIERARCHICAL ORGANIZATIONS

## Appendix A

### Chapter Outline

#### LEADERSHIP AND EXCHANGE IN HIERARCHICAL ORGANIZATIONS

##### SECTION I -- INTRODUCTION

###### 1. Historical Summary

This chapter will present a relatively brief outline of the development of leadership theory, over a period of approximately 40 years to the present. Its purpose will not be to go into substantial detail with regard to authors, dates, etc., but rather to give a general feel for the trends in the development of theory over this period, so as to place present systems into perspective.

###### 2. Contemporary Positions

This chapter will contain a more detailed presentation of several significant systematic positions, including at least the following:

- a. The Ohio State University studies. These studies have not only contributed very substantially to an understanding of leadership in formal organizations, but have also provided an orientation that has been adapted for management and leadership training in a variety of contexts, e.g., Blake, et al, 1962; Blake, et al, 1968.
- b. The University of Michigan Survey Research Center studies. These studies are important both for their contribution to an understanding of the functional role of the first-line supervisor, and for their discovery of the apparent independence between cohesiveness and productivity in small groups in formal organizations. (See also d, below.)
- c. The University of Illinois Group Effectiveness Research Laboratory studies. The terminal position reached by Fiedler (1967) is potentially of substantial significance in its attempt to deal with interactions of certain aspects of the task, certain attitudinal responses of group members, and a supposedly enduring predisposition of the leader.
- d. The Human Relations Approach. This is of substantial interest in the present context because of its implicit recognition of the need for considering other than economic values in the motivation of the group member, and of suggesting that the group leader is to a major extent responsible for maintaining the two-way communication that helps satisfy these needs.

e. The Revisionist Approach. As Bennis (1959) notes, the concern of the revisionists has been revision of "...the naive, unsubstantiated, and unrealistic aspects of the human relations approach without sacrificing its radical departure from traditional theory." (p. 273) One basic thesis here is that of a fundamental conflict between individual and organizational goals at lowest organizational levels, a conflict that either does not exist or exists at a much reduced intensity at higher organizational levels. The revisionists differ in their views of how this conflict can and/or should be reduced. The principal significance of this approach in the present context is that the revisionists have in fact made an implicit application of social exchange theory to organizational process, and their analyses of organizational processes, especially McGregor (1960), are basic to the application of social exchange theory concepts.

### 3. Critique and Summary

This chapter will provide a summary evaluation of the various approaches covered in the preceding chapter, based on studies in the literature that either do or do not confirm key aspects of these approaches. For example, Janda (1960) has criticized the current work in "leadership" because of its narrow scope, and its neglect of basic concepts in related fields. Cartwright (1959) makes a similar criticism, though not of leadership research specifically. Korman's (1966) recent review is a more specific kind of criticism, noting that almost all the work with "Consideration" and "Initiating Structure" has dealt with concurrent validity and that there is very little evidence for predictive validity.

These and other studies will contribute to the content of this chapter, which will be written essentially to introduce the remainder of the volume.

## SECTION II -- MOTIVATION IN HIERARCHICAL ORGANIZATIONS

### 1. Contemporary Positions

In a somewhat parallel fashion to the second part of the first section, this part will review some historic and contemporary views of the motivation of the individual in hierarchical organizations. Among the material contributing will be classical motivation theory, hierarchy of needs (Maslow, 1954), and motivator/hygiene (Herzberg, Mausner, and Snyderman, 1956). In addition, equity theory (Adams, 1965) will be treated, as will be social exchange theory (Blau, 1964). The emphasis here will be to show the shift in contemporary thought from concern with the individual to concern with the group's influence on the individual, to include not only derivation of needs, but also assessment of the equity of the elements of exchange.

## 2. Small Group Processes in Large Organizations

This chapter will present a portion of the enormous literature on small group processes, principally for the purpose of identifying basic processes that are of concern to the leader. The material will discuss, among other topics, why groups develop internal structures, and why roles become differentiated within groups; individual needs that are satisfied by the development of such structures; group processes that lead to the development of normative values and standards; individual needs that are satisfied by the development of such values and standards; and group processes that support normative values and standards, on the one hand, and deviance from organizational norms, on the other hand.

## 3. Group Performance

This chapter will rely to a substantial extent on the work of the Survey Research Center, in addition to others, e.g., Dubin, et al (1965), and will summarize the findings on correlates of group effectiveness in formal organizations. Exchange theory concepts will be used here also as explanatory concepts, and as an introduction to the following section.

# SECTION III -- SOCIAL EXCHANGE AND LEADER BEHAVIOR

## 1. Social Exchange Theory and the Concept of Power

This chapter will deal with the concept of power, and social exchange theory concepts relating to the development of power. The emphasis will be on how exchange processes between levels of organizations legitimate the power held by one level over a lower level. It will also serve to illustrate processes which lower levels can employ in an attempt to reduce the power of higher levels, and relate the legitimacy of power at one level to productivity at lower levels.

## 2. The Functional Role of the Leader

One application of social exchange theory is to rationalize the expectations of subordinate members of groups in formal organizations as to their supervisors' behaviors. This chapter will make such an application, and, in addition, will discuss in a more detailed fashion than previously the differentiation of roles within groups, the qualitative differences between emergent and appointive leadership situations, and the acquisition of role competence by leaders. The emphasis in this latter topic will be on the socialization of the individual, and its continuing nature, as the process through which he acquires the functional capacity to behave as a leader.

### 3. Organizational Processes Supporting Leadership Function

This chapter will relate the material in the previous chapter to the business of organizational function. Topics will be organizational goal setting, authority relationships, responsibility for achievement, communication processes as key tools of the leader, and delegation of authority as a developmental process.

## SECTION IV -- APPLICATIONS TO MILITARY LEADERSHIP

### 1. Special Problems

This chapter will deal with the special problems of military leadership, particularly the problem of combat stress, the hardships of shipboard duty, and the differential problems associated with leadership in small ships, large ships, and submarines, as opposed to shore duty.

### 2. The Function of the Small Group in Maintaining Individual Performance

A substantial volume of work exists from World War II, and subsequent conflicts, dealing with the supportive value of the small group in maintaining performance during periods of stress, etc. The content is related to Chapter II, 2, but will be more directly illustrative of the need for and impact of primary and quasi-primary groups in formal organizations under conditions of threat. This chapter will also elaborate the function of the naval officer in building norms congruent with organizational goals.

### 3. Developing Teamwork and Effective Group Performance

In this chapter, additional focus will be placed on the function of the naval officer in developing effective groups, and in obtaining and maintaining high levels of performance. The orientation will be in an application of role theory, and the content will consist of task related role behaviors (clearly defining goals, identifying high probability courses of action for achieving goals, correctly evaluating performance and appropriately rewarding it, etc.), non-task related role behaviors (handling disruptive influences, etc.), and role attributes (maintaining and satisfying esteem and self-determination needs of subordinates, etc.).

### 4. The Role of Personal Attributes in Leader Effectiveness

The literature continues to accumulate studies of the personal attributes of leaders, some of which seem to be sufficiently convincing that, as Fiedler (1961) notes, "traits" cannot be totally ignored. In this chapter, the literature will be treated from the viewpoint of exchange theory, and the need for a role model within small groups. It appears that most of the "traits" studies will fit this kind of rubric, and that such a discussion will set current common-sense beliefs about personal characteristics into a more systematic frame of reference.

**SECTION V -- SUMMARY**

**This section will contain a brief recapitulation of the previous material, primarily for the purpose of restating the chief bases for the interpretations given the previous materials.**

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| 13. ABSTRACT<br><p>The objective of the present project is to develop a review and integration of the current social psychological and sociological literature relevant to leadership in formal organizations. The work during the first year of the project has consisted of abstracting and cataloging approximately 900 references; the projected outline of the review is presented as an appendix to the report.</p> |  |   |

