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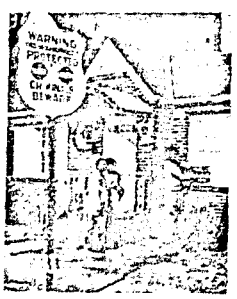

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Federal Bureau of Investigation
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Washington, D.C. 20535

William H. Webster, Director

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Management Control

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The task of management is frequently subdivided into the following component parts: Planning, organizing, directing, staffing, and controlling. The management function of control, perhaps befitting its position as the last function listed above, is generally less understood and honored than the other managerial processes. There are many different interpretations of and misgivings about the concept of control. Yet, despite the many misconceptions about the nature of control, there is general agreement about its definition. Henri Fayol's definition in 1916 is still commonly accepted today.

> "In an undertaking control consists in verifying whether everything occurs in conformity with the plan adopted, the instructions issued and principles established. It has for object to point out weaknesses and errors in order to rectify them and prevent recurrence. It operates on everything, things, people, actions."[1]

The American cultural value of individual freedom is supposedly threatened by any form of control. Highly simplified, the argument goes that freedom is good and control is bad. Although most people are reluctant to admit it, they probably prefer some degree of control in their lives to give them some stability and continuity and to contribute to their general well-being and safety. Yet, the negative connotation of control still exists; it is amplified by the methods in which controls have been traditionally devised, implemented, and used in both private sector and governmental organizations. Here, we discuss the traditional management control strategies, with particular emphasis on the behavioral implications of these strategies. Motivation theory will also be addressed. Familiarity with such theories may assist law enforcement executives in unleashing the potential of their subordinates, while establishing an organizational climate of self-control and optimum productivity.

A Traditional View of Control

Many managers view control as the managerial means to insure that objectives are implemented. This process is normally accomplished by establishing policies and procedures and measuring and providing feedback on performance.[2] The process of establishing policies and procedures is related to the concept of control as direction. The father of scientific management, Frederick Taylor, believed that it was a primary responsibility of management to learn the best method and procedures for accomplishing work, prepare written instructions detailing these procedures, and carefully train selected workers in these procedures. Thus, it was the responsibility of managers, and not employees, to provide clear and understandable policies and procedures that would insure the accomplishment of objectives.

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Through Motivation

The distinctions between policy, procedure, or rule are not always clear and are not really central to our discussion. Broadly stated, policies, procedures, and rules set forth guidelines for making decisions, specify ways for carrying out tasks, and provide regulations that require or prohibit certain behavior. What is important is that managers devise policies and procedures that help employees accomplish objectives. In their early years and while they are relatively small, most police departments, or for that matter virtually all organizations, require very few policies and procedures. Gradually, as the department grows and becomes more complex, the need for policies and procedures becomes more pronounced. It is just not efficient or economically feasible to continue handling every problem as unique. The organizations decide to develop some policies that trade upon experience and give guidance to people facing similar problems for the first time. Today, many departments not only rely on their own experience but hire management consultants and staff specialists to analyze the experiences and innovations of other departments to see if they are applicable to their own department.

Even though the development of policies and procedures is inevitable, and in spite of the advantages just discussed, it is equally inevitable that problems will evolve as a result of these policies and procedures. Unless management is careful to avoid providing too much direction, these problems or disadvantages can easily outweigh the advantages. In this era of rapid change and advanced technology, the idea of planning for and controlling every contingency is not feasible. Above all else, police departments must be flexible and adaptive to the environment. Police managers and patrolmen must use discretion in handling unique or unforeseen incidents. Too much direction leads to an inversion of means and ends. Some people regard plans and procedures as an end in themselves, without regard to their contribution to organizational objectives. Many people feel that this "by the book" mentality is essentially synonomous with bureaucracy.

A final difficulty with control through policies and procedures is the continuing necessity to insure that they are up-to-date. Outdated and improper policies can be a strong demotivator. Some management consultants recommend periodically burning all policies and procedures, and after a few weeks, carefully assessing the situation to determine which policies are really needed and which should be eliminated.

The second control process, measuring performance and providing feedback, has its roots in the concept of control not as direction but as verification—checking to see if activities conform to predetermined direction. This approach involves developing and administering measures of key activities that will discover and determine if objectives are being fulfilled. Elaborate budgetary techniques, management audits, time scheduling techniques such as PERT (Program Evaluation and Review Technique), computer technology, and management information systems have the capacity to provide police managers with voluminous amounts of accurate, complex information in a timely fashion. Crucial to the effectiveness of such approaches, however, is choosing what to measure. How well the measurements are designed makes a difference in how much they can help the organization reach its objectives. Probably one of the most damning, but accurate, complaints about management by objectives, at least with respect to the way it is frequently implemented, is the seductive urge to concentrate on that which is quantifiable at the expense of that which is important. If control systems are to avoid being counterproductive, both from an organizational effectiveness standpoint and from a motivational perspective, they must highlight links between effort and performance.

Research on the effects of control systems upon motivation and behavior leads to the conclusion that completeness, objectivity, and responsiveness to employee effort and performance are desirable and necessary qualities of the performance measures.[3] Employees perceive that measurements define important aspects of the job. They assume that what is counted is what matters. As Harold Hook, the president of American General Insurance Company, states, "A company gets what it inspects, not what it expects."[4] In a 1963 report, P. M. Blau comments that law enforcement officials who are assigned an established caseload and a quota for clearing cases pick easy or fast cases toward the end of each month if they anticipate falling short of their quota.[5] Several studies document how employees will make sure, by fair means or foul, that measurements will register at satisfactory levels. The performance measures selected for the control system can, in fact, change the behavior of employees, and if the measures are not a valid indicator of performance, this change in behavior may well be dysfunctional.

Feedback is an integral part of control through the use of performance measurement. Feedback makes it possible to compare actual and intended performance and to make the necessary adjustments. The popular belief that accurate feedback results in improved performance has not always been supported by research studies.[6] Additionally, the effectiveness of feedback can vary depending on who or what provides it. Most individuals seem to find the task and themselves the preferred source.[7] Supervisors often make a poor source of feedback. "Critical feedback from supervisors in a performance appraisal system tends, indeed, to provide more stimulus to defensiveness than to improve performance."[8] In short, feedback can be both valuable and risky.

Control Through Motivation

Now that the possibilities of controlling the behavior of people in organizations through policies and procedures and through performance measurement and feedback have been discussed, it is necessary to consider the motivational processes of individuals and see how police managers can apply this knowledge to control the behavior of their personnel. According to motivation theory, people have certain needs and beliefs or expectancies

"Feedback is an integral part of control through the use of performance measurement."

about whether or not various ways of behaving will lead to satisfaction of these needs. Within us all, mental and emotional processes are at work to determine how we will behave. This article will briefly review some of the major theories of motivation in order to assist in understanding this psychological process.

Maslow's Hierarchy of Needs

In a classic work in the 1940's, Abraham Maslow outlined an overall theory of motivation using a hierarchy of needs concept which can be most helpful in explaining the vagaries of human behavior.[9] (See fig. 1.) A basic assumption of the theory is that all behavior is goal-directed. The desired goals represent satisfaction of basic human needs. These needs are arranged in a hierarchical relationship with the lowest needs being prepotent. According to the theory, people are always in a state of want, but what they want is a function of the pattern of need satisfactions within the hierarchy. Lowest-level needs are predominant until they are at least partially satisfied, at which time higher-level needs emerge and become the energizers for future behavior. Maslow states that a satisfied need is not a motivator of behavior.

Just as satisfied needs move people up the hierarchy, unsatisfied needs move people back down the hierarchy to their basic physiological and safety needs. Thus, a young police lieutenant with a graduate degree and virtually unlimited career advancement potential is probably operating normally at a level of ego/esteem need satisfaction or self-actualization. However, if he were captured by a group of terrorists and involved in a lengthy hostage situation, within a relatively short time his behavior would be directed toward the satisfaction of basic physiological needs, as well as the maintenance of his safety and that of the other hostages.

Although Maslow did not intend that his theory be directly applied to work motivation, the need hierarchy can be roughly converted. (See fig. 2.)

The research conducted to validate Maslow's model has had mixed results, and most likely, the model is not the final answer in work motivation. However, the model does serve one very significant purpose—to make managers more aware of the diverse needs of people at work.

Herzberg's Two-factor Theory of Motivation

Frederick Herzberg extended the work of Maslow and developed a specific theory of work motivation. Using what is known as the critical incident method, Herzberg has posed the following to the many different types of workers—professional and manual.

> "Think of a time when you felt exceptionally bad about your job, either your present job or any other job you have had. Tell me what happened. Conversely, think of a time when you felt exceptionally good about your job . . . and tell me what happened."[10]

The responses obtained were fairly consistent. When people were describing good feelings, they were generally associated with job experiences and job content, and bad experiences were generally associated with the environment in which the work was accomplished. Herzberg states that what makes people feel good and bad about their work are two separate and distinct factors. The good factors are called motivators; the bad factors, hygiene. (See fig. 3.)

Herzberg's theory is closely related to that of Maslow. The hygiene factors are preventative and environmental in nature and are roughly equivalent to Maslow's lower-level needs. These factors are important because they prevent dissatisfaction and almost certain poor performance, but they do not lead to feelings of satisfaction and consequent high performance. Herzberg believes that a person must be given a task to perform which is challenging and meaningful to him in order to be motivated.

Herzberg's theory has also been heavily criticized by academicians and practicing managers. The most serious criticism would appear to be with the methodology employed. When researchers depart from the critical incident method (describing one instance when they felt either particularly good or bad about their job) used by Herzberg, they generally obtain results which are quite different from those the two-factor theory would predict.[11] An additional point of controversy over Herzberg's theory is the listing of salary or pay as a hygiene factor. Herzberg states that pay is the most important hygiene factor, but many people feel that even this preeminence among hygiene factors may be an overcorrection for many workers. In other words, pay can be and is a motivator for many people. A study by Lawler in the early 1970's has shown that money can be a powerful motivator for some people.[12] Still, Herzberg's work is extremely valuable to practicing managers because it provides an understanding of job-content factors and worker satisfaction.

Figure 1.

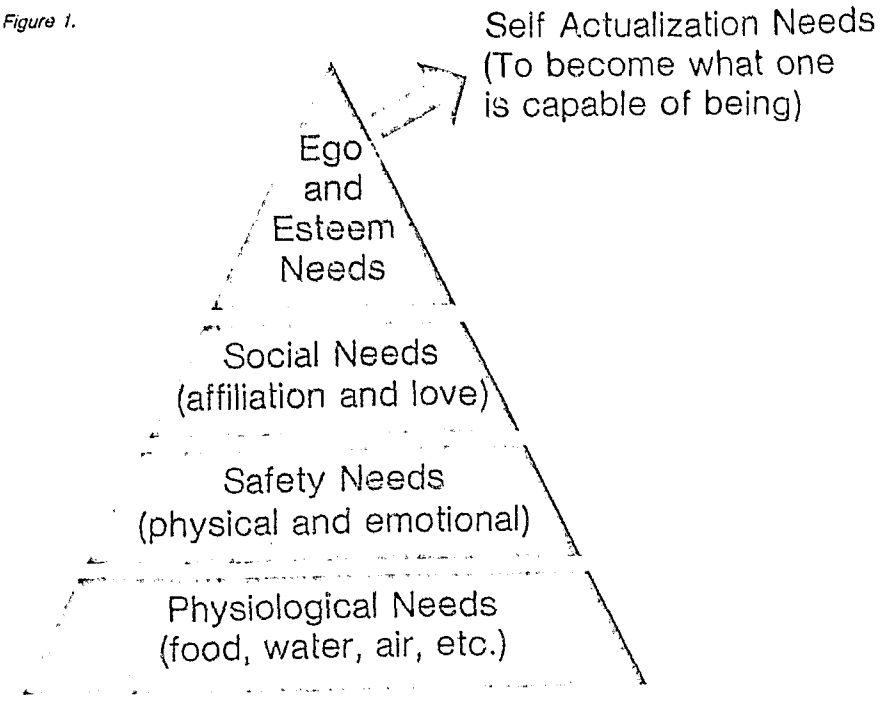
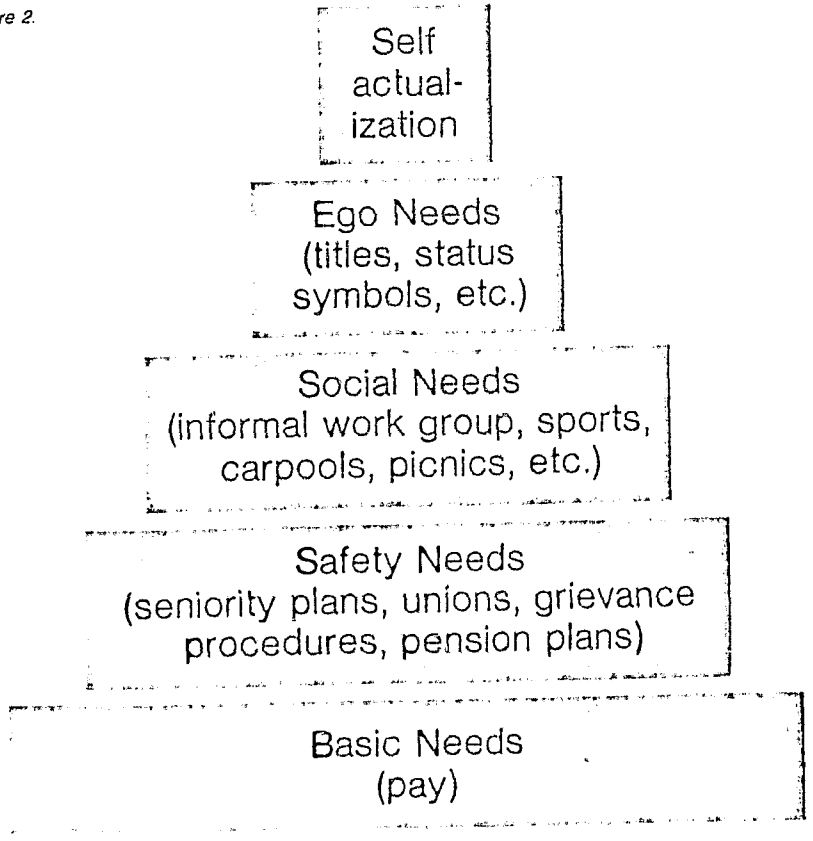


Figure 2.



Expectancy Theory of Motivation

In an attempt to address some of the limitations of Maslow's and Herzberg's motivation theories, Victor Vroom proposed the expectancy theory of work motivation in 1964.[13] Presently, there are many models of work motivation built around the concept of expectancy theory. Most academicians have embraced the expectancy theory because they feel it more adequately describes the motivational process of individuals than the more simplistic models of Maslow and Herzberg. It should be recalled that Maslow and Herzberg believed that all behavior was goal-directed and that these goals represented satisfaction of basic human needs. By way of contrast, the expectancy theory states that a human being is both emotional—seeking satisfaction of needs—and reasonable—thinking through what alternative actions will satisfy needs—at the same time. In effect, we try to predict the consequences of our behavior with respect to the payoffs we will receive, i.e., there is a cognitive aspect of behavior. Basic to the cognitive view of motivation is the notion that individuals have cognitive (subjective) expectancies concerning the outcomes of their behavior and have preferences among these outcomes. Thus, people have an idea about possible consequences of their acts and make conscious choices among consequences according to their probability of occurrence and their value to them. "Thus for the cognitive theorists it is the anticipation of reward that energizes behavior and the perceived value of various outcomes that gives behavior its direction." [14]

For example, consider the situation of a young patrolman studying for a sergeant's exam. The night before the exam the patrolman is trying to decide how to spend the evening. He has a number of choices. He could stay home and study, go to the local gym and work out, go to the neighborhood bar, or take his girl to the movies. Each choice will produce its own payoffs for the patrolman. The one he chooses will be the one which will provide the greatest payoffs with respect to his needs and values. The patrolman is likely to have a sense of achievement as a result of studying for the exam, and if he believes (his subjective probability) that studying for the exam will lead to a high grade and he values a high grade and the expected resulting promotion, it is very likely that he will spend the evening in study. It may be that in addition to a need for achievement, the patrolman also has a strong need for affiliation. In this event he could satisfy both needs by studying with other officers preparing for the exam. However, if the officer does not believe (subjective probability) studying will have any effect upon his grade or if he places little or no value on achieving a high grade and possible promotion, there is very little likelihood that he will study.

"If control systems are to avoid being counterproductive, . . . they must highlight links between effort and performance."

The expectancy models can become quite complex and frequently involve mathematical equations and formulas to predict behavior. This complexity and quantifiability are obviously attractive to academicians and simultaneously tend to scare off practicing law enforcement executives. This is most unfortunate. Obviously, people do not become mathematicians to figure out their every act, but this does not mean that expectancy theory is of no value. In real life, people trade upon their experience and knowledge to make quick, subjective estimates of the payoffs resulting from various behaviors. The true value of expectancy theory lies in highlighting the reasoning side of people—the cognitive side of behavior. Generally, if managers can cement the link between task performance and need satisfaction, they raise the probability that employee efforts will be committed to organizational goals and objectives. Managers are employed to assist in realizing organizational objectives, and their effectiveness depends upon the cooperation of their subordinates. They must clarify for subordinates the paths of behavior that will fill the subordinates' need satisfaction and insure these paths are parallel or complementary to attainment of organizational goals.

The central notion of expectancy theory is that people will act in a particular way as a function of how certain they are that the act will be followed by a reward and what value that reward holds for them. The reward must be contingent upon performing specific acts which are organizationally desirable. Management, thus, is able to control organizational behavior by the design and administration of reward practices. By insuring that rewards are linked to organizationally desired behaviors and that the paths to these rewards are clarified for subordinates, management can establish real control of their organization.

Conclusion

We have reviewed the control process from the perspectives of establishing policies and procedures and also from measuring and providing feedback on performance. Additionally, we have discussed the complex psychological process of motivation in order to gain some insight into why people behave in certain ways. The first two approaches can be of invaluable assistance to law enforcement executives in controlling the behavior of their organizational members, but simultaneously, the limitations and po-

tential disadvantages of these approaches must be considered. The desire for control and uniformity based on policies and procedures must be balanced with the necessity of allowing decisionmakers some flexibility when confronted with new and unanticipated situations. The accelerating nature of societal changes serves to guarantee an increasing number of such situations in the future. Policies and procedures essential to the efficient operation of the department must be regularly reviewed—at least annually—to guard against dysfunctional behavior and negative impact on members' motivation. Similarly, when measuring the performance of police officers, executives must insure that the elements measured correlate strongly with effort expended and performance achieved. Departments must measure the important elements of performance and not just those elements which lend themselves to measure.

Police executives can enhance their ability to achieve organizational objectives and control individual performance by understanding motivational processes and applying this knowledge to work situations. By designing and administering the reward practices (pay, promotions, assignments, etc.) of the organization so that they are obvious rewards of superior performance, managers can increase the probability of receiving satisfactory performance. Officers will discipline their own behavior with self-control to increase their opportunities to receive organizational rewards. As Drucker states, "People act as they are being rewarded or punished."[15] Management control of the behavior of organizational members can be greatly enhanced by an understanding of the motivational processes and by applying this knowledge on the job. **FBI**

Figure 3.

Herzberg's Two-factor Theory of Motivation

HYGIENE FACTORS	MOTIVATORS
Company policy & administration	Job itself (meaningful and challenging)
Interpersonal relations	Recognition
Working conditions	Achievement
Supervisory practices	Responsibility
Salary	Advancement

Footnotes

[1] Henri Fayol, *General and Industrial Management*, trans. Constance Storrs (London: Sir Isaac Pitman and Sons, 1949), p. 107.

[2] David R. Hampton, Charles E. Summer, and Ross A. Webber, *Organizational Behavior and the Practice of Management*, 3d ed. (Glenview, Ill.: Scott, Foresman and Company, 1978), p. 525.

[3] E. E. Lawler, and J. G. Rhode, *Information and Control in Organizations* (Santa Monica, Calif.: Goodyear, 1976), p. 42.

[4] Harold Hook, "Catchwords Become a New Management Technique," *Business Week*, December 15, 1975, p. 77.

[5] P. M. Blau, *The Dynamics of Bureaucracy*, rev. ed., (Chicago: University of Chicago Press, 1963), p. 45.

[6] Lyman W. Porter, Edward E. Lawler III, and J. Richard Hackman, *Behavior in Organizations* (New York: McGraw-Hill Book Company, 1975) p. 303.

[7] M. M. Greller and D. M. Herold, "Sources of Feedback—A Preliminary Investigation," *Organizational Behavior and Human Performance*, April 1975, pp. 244–256.

[8] H. H. Meyer, E. Kay, and J. R. P. French, Jr., "Split Roles in Performance Appraisals," *Harvard Business Review*, January-February 1965, pp. 123–129.

[9] Abraham Maslow, *Motivation and Personality*, (New York: Harper and Brothers, 1954). The hierarchy of needs concept is discussed in detail in Chapter 17.

[10] Frederick Herzberg, Bernard Mausner, and Barbara Bloch Snyderman, *The Motivation to Work*, 2d ed. (New York: John Wiley and Sons, 1959), p. 141.

[11] Marvin D. Dunnette, John P. Campbell, and Milton D. Hakel, "Factors Contributing to Job Satisfaction and Job Dissatisfaction in Six Occupational Groups," *Organizational Behavior and Human Performance*, May 1977, pp. 143–144; C. A. Lindsay, E. Marks, and L. Gorlow, "The Herzberg Theory: A Critique and Reformulation," *Journal of Applied Psychology*, August 1967, pp. 330–339.

[12] Edward E. Lawler, *Pay and Organizational Effectiveness—A Psychological View* (New York: McGraw-Hill Book Company, 1971), pp. 91–92.

[13] Victor H. Vroom, *Work and Motivation* (New York: John Wiley and Sons, 1964).

[14] J. P. Campbell, M. D. Dunnette, E. E. Lawler III, and K. E. Weick, Jr., *Managerial Behavior, Performance and Effectiveness* (New York: McGraw-Hill Book Company, 1970), p. 343.

[15] P. Drucker, *Management: Tasks, Responsibilities, Practices* (New York: Harper and Row, 1974), p. 504.

Measuring Blood Alcohol Content

The Law Enforcement Standards Laboratory of the National Bureau of Standards has established a performance standard for collection/storage devices used by police to obtain breath samples from people suspected of driving while under the influence of alcohol. The standard was developed for the National Highway Traffic Safety Administration (NHTSA).

Since breath samples are subsequently analyzed to determine blood alcohol content, the devices used must be capable of collecting a deep-lung breath sample and be able to store the sample for extended periods without degradation, in order to meet performance requirements and test methods. Once the standard is published, the NHTSA will use it as the basis for establishing a qualified products list that State and local governments will rely on to purchase equipment with Federal funds. **FBI**

END