Working with Values: Software of the Mind

A Systematic and Practical Account
of Purpose, Value and Obligation
in Organizations and Society.

Warren Kinston

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Chapter 10

Realizing Values: The Building Blocks

Designing a desirable ethical rule, dreaming up a useful idea, or recognizing an emerging social need is one thing, getting it valued within a community, installed in an organization, and used willingly by people, is quite another. We now turn to consider what precisely is involved in ensuring that values are realized and tangible achievements generated. As you might expect, we need to examine a wide variety of conceptual tools derived from the seven basic types of purpose detailed in Chapters 3, 4 and 5.

Trying to realize new values, so alien to traditional societies, characterises modern ones. The idea that social life in the modern world could remain more or less the same from generation to generation is no longer within the bounds of possibility. The values of creativity, discovery, invention, and an endless search for improvement seem to be part of modern society.[1]

Organizational life, too, has moved out of the industrial era of simplicity and stability to a condition of increasing social pressures, intense global competition, constant innovation, rapid technological change and unpredictable cultural turbulence. Managers in firms of all sizes are starting to recognize what politicians have always known: that the ability to work with values is essential for success. After all, work itself is, at its heart, about the generation of value.

The Aim. The present chapter explores the purpose-based tools needed and used by people, groups, organizations and governments. Ch. 12 completes the picture by examining organized endeavours, and the way they are created and regulated. Vast numbers of popular and academic books in many disciplines and domains have been written on various aspects of realizing values. I have drawn freely on that literature. The present intention, however, is to offer something new.

First, I want to define the various purpose derivatives far more precisely than is usual. This is necessary to clarify their practical use and limitations. I also want to show how these conceptual tools relate to each other. In this way, we can gain a comprehensive overview of crucial structures and processes inherent in all complex endeavours. My hope is to stimulate what you, the reader, already intuitively know, independently of any specialist or disciplinary teaching. You must draw on your existing knowledge and experience if you are to use the ideas to operate in a more deliberate and effective way.

Second, I want to show how all purpose or value derivatives find their origins in the seven elemental forms of purpose. This is aesthetically pleasing and greatly helps in understanding and remembering it all. These origins also provide the theoretical framework with an unequivocal root in responsibility and social identity, so giving an ethical quality to its use.

People endlessly, if often unconsciously, impose their values; and communities openly seek to see their values translated into action. There are many different views about how values should determine achievement by society or within organizations. Great debates regularly take place over whether an individualist *laissez faire* or a communal interventionist approach is desirable; or whether grand planning or incrementalism is preferable; or whether science or religion should lead the way. Such controversies can usually be understood as expressions of either conflicting ideologies (Ch. 9), or differing approaches to ethical choice (Ch. 6), or contrasting identity types (Ch. 7), or perennial dualities (Ch.s 12 and 13).

Fortunately, the present task is not to determine in what direction society should go, nor even how it should be taken there. The task is simply to clarify what is involved in realizing values. In pursuing this task, my aim is to provide essential ideas as tools which can be used by people to further whatever they think is important by whatever methods they prefer.

Again I remind the reader that the systematic and hierarchical order of presentation is for ease of exposition only. Everyone must use the ideas in a way that suits them and their situation.

Language. Choosing terms is never easy. However, as previously, common words like 'policy' have been precisely defined in ways that clients have found to be intuitively appealing and useful for their documents and

discussions. Of course these terms are used in practice in many varied ways: policy, for example, has been used as a synonym for each of the levels of purpose and much else; and over 30 different definitions have been proposed for planning.[2] It is not possible (and it would be tedious) to attempt to reference and reconcile all the various definitions and disciplinary perspectives on all the terms. Suffice it to say that the underlying notions offered here draw heavily on disciplinary and domain-based studies, even if the terms used differ somewhat on occasion.

Despite familiarity with most of the ideas to be presented, people have difficulty seeing the big picture. No existing text, to my knowledge, encompasses, labels, defines and inter-relates the full range of purpose derivatives. So, to repeat, the aim now is to provide brief accounts which define and identify the various purpose derivatives beyond doubt, and to clarify their relative positions in a single framework whose logic is based in the universal urge to realize values.

Using the Building Blocks. The building blocks needed and used by individuals singly or jointly to realize values are distinctive forms of purpose, direction, drive and functioning. These conceptual tools are needed in every community and are used by every organization. Whenever and wherever the building blocks are required, their essential nature and constitution is the same. Once understood, they can be applied in whatever setting or with whatever frame of reference the reader wishes. My primary aim is to reveal their nature, so I will illustrate the ideas using easily recognizable examples, mostly from business and government.

Realizing values has two dimensions: realization for the individual (person or organization) and realization for the community. Organizations have a community dimension and are used by people to develop and promote their values to benefit society as well as to pursue valued activities to benefit themselves. The interaction between values upheld and pursued by particular individuals and the significance of those values in wider society lies at the heart of participation. These issues will be partially explored here and further examined in Ch.s 12 and 13.

INTRODUCING THE REALIZATION OF VALUES

The purpose or value derivatives emerge from the *elemental hierarchy* of purpose (H^1) to form another hierarchy made up of groupings of adjacent levels (cf. Master-Fig. 0). I call this derived entity a *structural hierarchy* $({_S}H^1)$.

In the structural hierarchy, the seven basic levels of purpose can be grouped in seven different ways: in seven groups of one level, in six groups of two adjacent levels, in five groups of three adjacent levels, and so on up to a single group of seven levels. Each grouping carries important practical implications. Each contains groups which are purposive entities, i.e. tools essential for realizing values in organizations and society.

Before carefully exploring and explaining the structural hierarchy grouping by grouping, and internal group by internal group, the total picture is overviewed here.

Achievement is the most tangible expression that values have been realized. Significant achievement of any sort requires the **organization of endeavours (G-5)**. Endeavours demand work, and organization reflects the complications to be addressed in handling that work, especially when many people are involved. Neither work nor organization can be successfully forced: they require a minimum degree of **autonomy**. Values are communal in nature and autonomous endeavours are only possible if there is a general consensus on values amongst those involved and in wider society. Consensus enables the pursuit of values by executive-run enterprises, the preservation of values by mandated regulatory authorities, and the transformation of values in society by emergent popular movements.

Behind the autonomous organization of endeavours lies the essence of realizing values, which is the experience and **exercise of freedom (G-7)** by each person. Freedom implies **membership** of a society and tolerance of the existing social order. Although social identity and values are communal in nature, freedom implies that each person has the potential to determine their own actions. A person can support or oppose aspects of the social order; and join or leave organizations. So freedom is about being actively intentional and participating by imagining a different future.

To be human is to possess intentionality. The capacity to recognize the ethical order, to hold values and to set purposes is revealed in recognizable achievements: paid or unpaid, at home, on the job or in communal settings.

If freedom and intentionality are to operate properly, they must be exercised responsibly. The discharge of responsibility is the same whether the value to be realized is an ethical rule or principle, like respect for elders or freedom of expression, or something mundane like getting to work on time or attractive packaging. In all cases, the crucial responsibility falls to those who select and claim to hold the purpose or value. The development and careful definition of the hierarchy of purpose was carried out precisely to clarify this responsibility. In other words, the seven levels taken as monads

(groupings of just one level) are about **defining responsibility (G-1)**. Responsibility for **purposes** and associated fundamental social roles form the foundation on which the realization of values is built and on which all social existence depends.

Between the definition of responsibility (G-1) and the organization of endeavours (G-5) lie three increasingly complex essential purposive processes. Once purposes are set and the associated responsibility accepted, people are stimulated to start doing things. The first step must be to **constrain activity (G-2)** to ensure that accepted values are incorporated and have maximum impact. Giving people **directions** can achieve this. Directions focus attention and can be very effective in shaping activities. But their pursuit generates change and their constraining quality is liable to generate opposition. If this resistance is so great that it impedes progress, the second step must be to overcome opposition and actively **promote change (G-3)**. This involves developing **drives** that lead people to favour the desired values. Drives energize people and, if at all successful, generate achievement. But such achievements are transient and sporadic unless deliberately consolidated and managed. So the third step is to recognize the need for adequate **functioning** to **sustain achievement (G-4)**. Functioning demands a continuous and dependable use of purposes, directions and drives. This is work. Work needs to be organized in a way which serves the individuals involved and also wider society — which leads to the notion of autonomous endeavours (G-5).

One final grouping, the hexads, remains unmentioned. Between independent endeavours (G-5) and the exercise of freedom (G-7) lies the need to sustain an ethical order and **regulate the power (G-6)** released by cooperative efforts. This grouping identifies the need for **sovereignty** and its two guardians — the citizenry and the government. The interaction of these entities reflects the ethical order and determines the potential for realizing values in practice. In other words, the hierarchy reveals the truism that the realization of values in society (G-1 to G-5) depends on the exercise of freedom (G-7) interacting with the structures of power (G-6).

The full set of groupings and their groups is represented diagrammatically in Master-Figure 28. The properties of the groupings are summarized in Master-Table 29. The groups in each grouping have a distinctive internal form which is diagrammed in Master-Table 30. (Further properties are summarized in Master-Table 40 in Ch. 12.) Taking each grouping in turn now, here is a summary with definitions, again emphasizing the logical evolution of the hierarchy.

G-1: Defining Responsibility. 7 monadic groups (1 level per group) *ensure that values can be affirmed, chosen and pursued in a social context.* This grouping reflects the existence of seven levels or types of **purpose** whose determination demands distinctive responsibilities and defines distinctive roles for each person. Responsibility must be *defined appropriately*, that is to say in accord with the need for any person or social body to adapt to the actual social situation. Purposes typically generate activity in their service — activity which must be constrained to ensure that values are reflected in practice.

G-2: Constraining Activity. 6 dyadic groups (2 levels per group) *ensure that chosen values focus minds and shape outcomes.* This grouping reflects the existence of six types of **direction** which help individuals act in support of their group. Activity must be *constrained strategically*, that is to say in accord with the requirement to maximize the impact of accepted values in the situation. Directions containing neglected, controversial or new values generate change which is naturally resisted. Change must be positively promoted if such values are to make headway.

G-3: Promoting Change. 5 triadic groups (3 levels per group) *ensure that desired values are installed despite resistances.* This grouping reflects the existence of five components of any **drive** which seeks to reinforce existing values or to embed new values. There are always equally valid alternative values which might be preferred, each with its adherents. So any change of values must be *promoted politically*, that is to say, the support of those affected must be won and opposition must be handled. Drives, if successful, generate achievement which must be sustained if the values are to persist.

G-4: Sustaining Achievement. 4 tetradic groups (4 levels per group) *ensure that values are expressed coherently and enduringly in activities.* This grouping reflects the existence of four domains of **functioning** which permanently demonstrate values in action. Functioning must be *sustained rationally*, that is to say, by appeal to values (i.e. reasons) which are sensible, necessary and unarguable. Functioning, which is essential for community living, requires and generates work. Work must be organized to maintain functioning and to ensure that its values serve wider society as well as those involved.

The four groupings to this point define building blocks for the realization of values, and they are the subject of this chapter.

An important distinction deserves a mention here. A drive can exist in two modes: entirely for an

individual or entirely for the community. In the former case, the drive is defined within and for an individual, i.e. organization or person, to generate internal change. In the latter case, it is defined by individuals to operate diffusely in wider society to bring pressure on other individuals to change. By contrast, the other three forms of building block — purpose, direction and functioning — only exist in one mode with the individual and the communal dimensions fused. These entities exist for society through their existence for individuals, and the two dimensions cannot be disentangled. In the case of functioning, the communal dimension determines the role of an endeavour in society. Organizations can be set up with markedly different roles and this is the basis for a classification elaborated in Ch.11.

The next three groupings define conceptions — autonomy, sovereignty, membership — which are used to control the realization of values. The associated purposive entities are endeavours, rulers or guardians, and society with its social order. These develop, use and influence the building blocks. The controlling conceptions will be explored in Ch. 12, but they are summarized here for convenience and completeness.

G-5: Organizing an Endeavour. 3 pentadic groups (5 levels per group) *ensure that work serves the values of both society and individuals.* This grouping reflects the existence of three embodiments of **autonomy** which enable joint endeavours to be created and thrive in society. Movements introduce new values; authorities clarify and preserve values; and enterprises pursue recognized values. All such autonomous endeavours must be *organized consensually*, that is to say by appeal to freely-given agreement on certain values by individuals within them and by those generally without. Successful endeavours generate power which must be controlled if society is to remain stable and ordered.
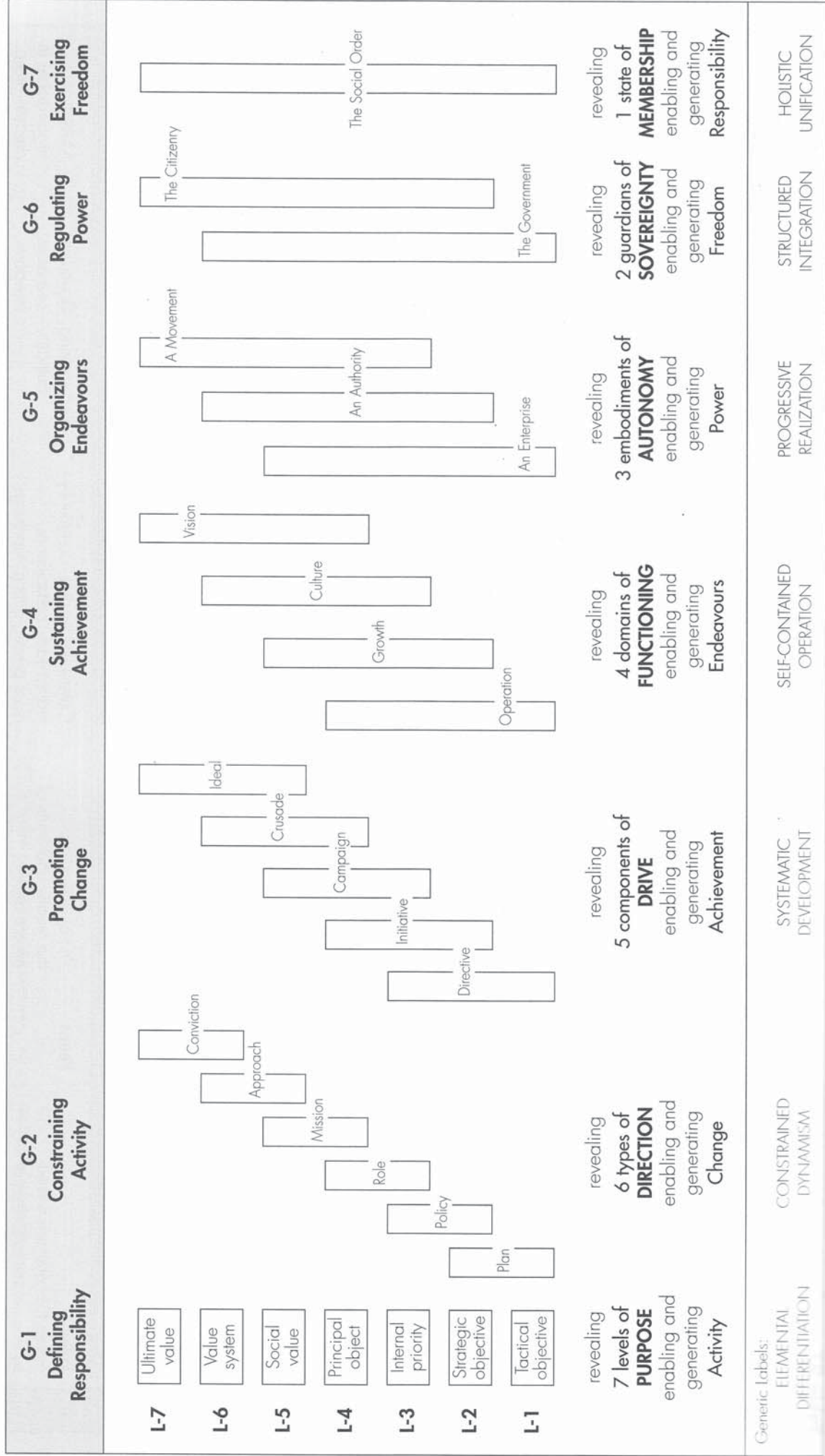
G-6: Regulating Power. 2 hexadic groups (6 levels per group) *ensure that society, its people and their activities, are regulated by values.* This grouping reflects the existence of two guardians of **sovereignty**: the citizenry and the government. Sovereignty is essential if a society is to sustain its own ethical order. For sovereign power to be legitimate, it must be *controlled ethically*, that is to say, by appeal to a deep understanding of what is right and good. Sovereignty enables and generates freedom which must be exercised to make social life meaningful and tolerable.

G-7: Exercising Freedom. 1 heptadic group (containing all 7 levels) *ensures that each person uses and evaluates values.* The grouping reflects the existence of a form of **membership** defined by a particular social order. Freedom and membership, if they are to mean anything, must be *exercised imaginatively*, that is to say by appeal to values which both characterize and transcend present society. Otherwise freedom is indistinguishable from conformity. Put another way: only reflective personal evaluation of existing values can lead to a social order with all its imperfections being supported with full commitment. In turn, only a committed member can genuinely assist in the emergence of worthy new values. Membership, with its associated freedom, generates personal responsibility. This responsibility must be precisely and appropriately defined if values are to be affirmed and pursued in a realistic way. And so we return to G-1.

The ethical starting place to analyse the realization of values in society is with the roles and responsibilities of each person in society. The practical starting place is the performance of appropriate activities. The logical starting place is the seven level elemental hierarchy of purposes and values. These three perspectives come together in the monadic grouping (G-1), to which we now turn.

Master-Figure 28

Purpose derivatives and processes for realizing values in society.

Diagrammatic representation of the structural hierarchy formed by systematically defining all combinations of adjacent levels of purpose in the elemental hierarchy. See text and Master-Tables 29 and 30 for further details and explanation.

	G-1 Defining Responsibility	G-2 Constraining Activity	G-3 Promoting Change	G-4 Sustaining Achievement	G-5 Organizing Endeavours	G-6 Regulating Power	G-7 Exercising Freedom
L-7	Ultimate value	Conviction	Ideal	Vision	A Movement	The Citizenry	The Social Order
L-6	Value system	Approach	Crusade	Culture	An Authority	The Government	
L-5	Social value	Mission	Campaign	Growth	An Enterprise		
L-4	Principal object	Role	Initiative	Operation			
L-3	Internal priority	Policy	Directive				
L-2	Strategic objective	Plan					
L-1	Tactical objective						
	revealing 7 levels of **PURPOSE** enabling and generating Activity	revealing 6 types of **DIRECTION** enabling and generating Change	revealing 5 components of **DRIVE** enabling and generating Achievement	revealing 4 domains of **FUNCTIONING** enabling and generating Endeavours	revealing 3 embodiments of **AUTONOMY** enabling and generating Power	revealing 2 guardians of **SOVEREIGNTY** enabling and generating Freedom	revealing 1 state of **MEMBERSHIP** enabling and generating Responsibility
Generic Labels:	ELEMENTAL DIFFERENTIATION	CONSTRAINED DYNAMISM	SYSTEMATIC DEVELOPMENT	SELF-CONTAINED OPERATION	PROGRESSIVE REALIZATION	STRUCTURED INTEGRATION	HOLISTIC UNIFICATION

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Master-
Table 29

The groupings of levels of purpose used to realize values in society.
Grouping the levels of purpose forms seven levels in a structural hierarchy. The G numeral indicates the number of adjacent levels grouped together.
In all groupings (G), descending the groups reveals progression to more realizable, precise, tangible, or action-based entities.

G	Nature	Function	Content (Structure)	Implications for Society	Implications for Organizations	Common Errors
G-1:	**Defining responsibility appropriately**	To ensure that values can be affirmed, chosen and pursued in a social context.	7 levels of **Purpose** (monadic)	Recognition that everyone has the need and ability to fill seven distinct primal roles in social life.	All seven levels need to be recognized as motivating and influencing staff.	·Poor balance between personal and group pressures. ·Excessive neglect of one or more roles and levels.
G-2:	**Constraining activity strategically**	To ensure that chosen values focus minds and shape outcomes.	6 types of **Direction** (dyadic)	Communication between primal roles at adjacent levels is needed to deal with uncertainty about using values in practice.	Clear, realistic and acceptable directions are needed for cooperation, efficiency, effectiveness.	·Woolly specifications. ·Mishandling the social process. ·Ignoring value pressures.
G-3:	**Promoting change politically**	To ensure that desired values are installed despite resistances.	5 components of **Drive** (triadic)	Values must be constantly revised, reasserted and (re-)installed, even in the most conservative society.	Organizations are quasi-communities and all staff should be engaged when introducing values.	·Failing to recognize the political dimension in change. ·Not attempting to introduce any changes.
G-4:	**Sustaining achievement rationally**	To ensure that values are expressed coherently and enduringly in activities.	4 domains of **Functioning** (tetradic)	Society requires a wide variety of organizations dedicated to its transformation, differentiation, strengthening and sustenance.	Strong management involves the performance of four types of leadership work.	·Omitting work on mind-sets. ·Excess focus on operations. ·Absence of strategic thinking. ·Poor linkage of the domains.
G-5:	**Organizing endeavours consensually**	To ensure that work serves the values of both society and individuals.	3 embodiments of **Autonomy** (pentadic)	Organizing involves compartmentalization and the duties of each compartment should be designed to be synergistic.	Movements, authorities and enterprises must be developed and handled in distinctive ways.	·Expecting efficient services from government, or self-regulation by individual firms. ·Misunderstanding regulation.
G-6:	**Regulating power ethically**	To ensure that a society, its people and their activities, are regulated by values.	2 guardians of **Sovereignty** (hexadic)	The people require guardian institutions and political debate to control the government that regulates their activities.	An organization should consider itself a society in microcosm and work on its framework of ethical rules.	·The government places itself above the citizenry. ·Poor working of the political arena.
G-7:	**Exercising freedom imaginatively**	To ensure that each member of society uses and evaluates values.	1 state of **Membership** (heptadic)	Society requires its members to show civic virtue by participating willingly, being responsible and acting on what is important.	Values are constantly affirmed by all staff in their relationships, actions and communications.	·Taking society for granted. ·Denying the omnipresence of values in all social phenomena. ·Devaluing certain members.

Master-Table 30: Qualities of internal levels in each of the groupings of purposes.
These properties apply to each of the groups (purpose-derivatives) within a particular grouping. The Table shows how each grouping builds on the previous one. Note that the highest level (in shaded bold) gives the grouping its characteristic quality.
In formulae on both sides, 1°L refers to the first level in a group or grouping, 2°L to the second level &c. See text for further explanation.

	G-1	G-2	G-3	G-4	G-5	G-6	G-7
	Each of the **7 levels of** PURPOSE enables Responsibility to be **defined**	Each of the **6 types of** DIRECTION enables Activity to be **constrained**	Each of the **5 components of** DRIVE enables Change to be **promoted**	Each of the **4 domains of** FUNCTIONING enables Achievement to be **sustained**	Each of the **3 embodiments of** AUTONOMY enables Endeavours to be **organized**	Each of the **2 guardians of** SOVEREIGNTY enables Power to be **regulated**	Each of the **state of** MEMBERSHIP enables Freedom to be **exercised**
7°L							Imaginatively
6°L						Ethically	Ethically
5°L					Consensually	Consensually	Consensually
4°L				Rationally	Rationally	Rationally	Rationally
3°L			Politically	Politically	Politically	Politically	Politically
2°L		Strategically	Strategically	Strategically	Strategically	Strategically	Strategically
1°L	Appropriately	Appropriately	Appropriately	Appropriately	Appropriately	Appropriately	Appropriately

DEFINITIONS:

Appropriately : To meet the need to adapt to the immediate situation.
Strategically : To meet the need to maximize the impact of values given in the situation.
Politically : To meet the need to win support when choosing from valid alternative values.
Rationally : By appeal to a value-based rationale for on-going activities.
Consensually : By appeal to a general and freely given agreement on values.
Ethically : By appeal to values which are understood to be right and good.

G-1: PURPOSE

Nature. If values are to be realized in an ethical way, then all relevant activities must be performed responsibly and purposefully. So ensuring and determining responsibility ought to be our starting point. In practice, too, responsibility for articulating and sticking to a purpose is fundamental.

To appreciate where responsibility for purpose lies, it becomes essential to clarify precisely what is meant by the term. Inquiry along these lines has already revealed that there are seven distinct forms of purpose: five types of value and two types of objective (Ch.s 3 & 4). Clear specification of purpose and sensible assignment of responsibility (and hence realization of values) depend on recognizing these seven distinctions and their properties.

So, starting from the conception of a person as a social being who by nature accepts or assumes responsibility in a social setting, we are forced to unfold the seven-level hierarchy of purpose (see Fig. 10.1). Any particular inner intention or sense that something is important becomes operative only when it is fixed in the form of one of the levels or monadic groups: i.e. as an *ultimate value* (G-1^7), a *value system* (G-1^6), a *social value* (G-1^5), a *principal object* (G-1^4), an *internal priority* (G-1^3), a *strategic objective* (G-1^2), or a *tactical objective* (G-1^1).

The *function* of purpose in realizing values is to ensure that values can be chosen, affirmed and pursued in a social context. Each form of purpose makes its own essential and distinctive contribution. Holding a purpose at any particular level simultaneously entails a specific responsibility to pursue it. Otherwise there would be no meaning in saying that the person held that purpose or value. It also entails a specific social role in relation to its function. Otherwise the person would not be permitted by others to pursue the purpose.

Of course, people often claim to hold values and to be pursuing objectives when this is not the case. When others do this to us, we feel let down. We sense that they are not behaving responsibly. If, as in many organizations, such behaviour is the norm, then cooperation and achievement are severely limited.

Effective use of all of the more complex purposive or value-based tools depend on people selecting and affirming purposes and values in the various forms and accepting their accompanying roles and responsibilities.

Properties

The present task is to recapitulate the levels of purpose from the perspective of the responsibility of a social being i.e. a person sensitive to the historical context and aware of their continuing participation in social groups and wider society. The relevant new properties are summarized in Master-Table 31 and briefly explained here.

We have already discovered (in Ch. 3) that responsibility at each level of purpose has a different form and is exercised in a different way. Here we focus on the *personal responsibility* generated by holding a purpose and

Figure 10.1: The monadic grouping which differentiates purpose.
Seven levels of purpose enabling responsibility to be appropriately defined.

clarify to whom the responsibility is owed. Corresponding to the exercise of this responsibility, it is now possible to identify a distinctive social role. This role is so basic that I will refer to it as a *primal role*. These primal roles must be taken on and handled in a way that is *appropriately adapted* to the situation. I am referring here to each person's role as: a human being (G-1^7), an adherent (G-1^6), a participant (G-1^5), an individual (G-1^4), a governor (G-1^3), a leader (G-1^2) and an agent (G-1^1). Any particular communal role (G"-3^2) is a specific development of one or other of these universal and primal social roles. Although people may present themselves as embodying just one type of primal role, it seems unlikely that this is possible. Some people probably do have inclinations and abilities which make one or other role more prominent, but every person probably needs to fill them all, at least to some degree in some portion of their life.

Identity in its widest sense goes beyond social being (cf. Ch. 7 and Master-Matrices 10-13), but social identity is the main topic here, as well as being an inescapable concern for each of us. Holding various personal roles and exercising responsibility obviously uses and affects *the self*. As each person freely accepts and lives the primal roles and responsibilities, so different potentialities of the self are enabled. As each level of value is considered, it will be evident that each role if taken too far poses a particular danger for the self and others.

Overview. The present analysis of the monads offers a more person-oriented viewpoint of purposes than that emerging from an analysis of organizations and social groups presented in Chapters 3 to 5 (cf. Master-Tables 1-4). The argument here starts from the assumption that a person is only recognizable as a social being through their memberships and obligations. It then notes that these are associated with seven distinct roles and responsibilities linked to the levels of purpose. Put another way, the effective operation of complex purposive entities, and therefore of particular organizations and whole societies, depends on effective performance of individual people in these seven primal roles.

Situated in the centre of the hierarchy are principal objects. This fourth level is where value must be turned into action: ultimately by a person, even if through or within an organization. Groups may control values, but action depends on the responsible individual. So here is where each social being potentially comes into his or her own. Personal identity is realized in deeds not ideas or words, so setting and pursuing principal objects is at its core. At this level, an individual's identity must be expressed. So identity pressures determine the objects chosen and role performance. People often speak of the need 'to own' decisions, activities or values: which means seeing these in terms of principal objects and as expressions of their own identity.

Turning first to the three levels above principal objects, our previous analyses suggest that it is appropriate to speak of these values as societal. To be viable, one's primal roles at these levels (i.e. as a human being, a tribal adherent, or a group participant) must depend on using values which are currently recognized within a particular society. Here group pressures are paramount in role performance. By contrast, purpose in the three levels below principal objects are experienced quite differently. These primal roles (as a governor, a leader, or an agent) tie one to endeavours or organizations defined by principal objects. The discharge of responsibility is primarily determined by immediate reality or situational pressures.

With this introduction (and recalling the accounts of purposes and values given earlier), we can very briefly re-examine each of the levels of purpose in terms of the role and responsibility emerging from it.

The Seven Purposes (Again)

Ultimate values (G-1^7) are universally accepted and eternally pursued states of being. These generate a *personal responsibility* for distinguishing good and evil, right and wrong. This means refusing to be blinkered or overly constrained by values and circumstances in present society. The *primal role* is that of a human being who feels responsible to God or an inner spirit. In today's secular age, one might say responsible to humanity or to posterity or to a particular ultimate value (like Compassion or Reason). Societies vary in their preference for particular ultimate values, but all are recognized to some degree. Everybody has the capacity to function in this role. People who operate in society at this level persistently are thought of as visionaries, prophets or spiritual leaders. Like all social roles, this one embodies beliefs. If society rejects those beliefs, the prophet goes unrecognized in his or her own land.

Ultimate values enable *the self* to transcend time person and place, and so are the basis of selflessness. Unless a person is selfless, they are unable to make contact with a realm of being which is beyond present reality with its inescapable suffering and injustices. Taken to the extreme, however, selflessness becomes self-denial. Self-denial may become the basis for perverse ideologies in which the self, often identified with material needs or bodily functions like sexuality, is denigrated or rejected.

Value systems (G-1^6) are the interlinked valued

ideas which order understanding in a particular social domain. Value systems define the identity of tribes and control individual identity. The *primal role* here is that of the socialized adherent. Adherents are also known as experts, disciples, ideologues, devotees, believers or followers. Any value system generates in its adherents a *personal responsibility* to preserve and perpetuate it, and this involves repeatedly affirming the ideas to themselves and others. All adherents believe that the value system is right, true and real. Each feels a loyalty and responsibility for upholding and reaffirming for themselves and others what the value system is. Adherents feel a responsibility primarily to the value system itself, rather than to the tribe. It often seems to many that others in the tribe, sometimes those in leadership positions, are insufficiently dedicated to the value system, are back-sliding, and altogether too ready to compromise with alien values. These adherents regularly call for tribal renewal and a return to fundamentals. Societies contain a multiplicity of value systems, and their adherents have a role whenever their ideas are relevant: for example, as experts sitting on scientific advisory committees, as the faithful sustaining a political party, as ideological elites explaining a social movement, as believers developing communal worship, as professionals determining practice guidelines.

Value systems are the social basis of *the self* and are crucial to self-definition and self-expression. They permit understanding: alien values seem empty, confusing and wrong. Because we are socialized by value systems, nothing is more natural than to allow these to control our thoughts. The present analysis confirms that we are responsible for what we think, but goes on to suggest that we must not use socialization as an excuse for our views.

Attempts to destroy living value systems are equivalent to attempts to destroy people's identity. This is why adherents die for their beliefs and tribal communities hold them under oppression for generations. Unfortunately, adherents are always in danger of exalting their value system beyond reason, of denying the validity of alternative or rival schools of thought, and of becoming fanatical. Such activities suggest that self-glorification has developed.

Social values (G-1^5) are freely shared needs-based values serving specific communities. These values are experienced as personal needs as much as social needs, and are immediately recognizable as potential or actualizable goods. Acceptance of a need as a value or a value as a need is not always wholly straightforward, and the *personal responsibility* which emerges here is to recognize and, if necessary, clarify what each and all in the community do in fact need. The recognition of this

responsibility leads to the *primal role* of the participant. Those who participate actively do so on their own behalf and on behalf of others to whom and for whom they feel responsible. A community is made up of its members and so any need recognized even by just one member is, by definition, a need of the community. There are people who find that they have a strong feel for the community and its needs. Thoughtful journalists, for example, do more than just report news, they reflect and even shape social values. Some people prefer to participate by helping voluntary campaigns or working in reform-oriented organizations. Participants who are angry at injustices and feel impatient for change become activists in pressure groups or organizers in social movements. Highly capable or prestigious participants become community leaders, and some are the public figures who make up 'the great and the good' in society. Such people sit on public inquiries and commissions, serve as patrons of charities, explain what is important on the radio or television, and can be found guiding public institutions, holding elected offices, or linking membership associations to wider society.

Social values are essential for personal and communal survival because they tap into basic needs. While excessive conformity with established social values may reflect a blindness to social ills, denial or rejection of social values cuts a person off from others in the community and endangers survival. The progressive discovery and development of social values is an intuitive and reflective process which fosters social progress in the group and enables development of *the self*. Taken to the extreme, a person becomes over-concerned with their own ideas about what is needed and attempts to foist these values on the community regardless of the views of others. The danger here is self-preoccupation and a consequent lack of balance in judgements.

Principal objects (G-1^4) are the identity-defining activities of recognizable endeavours. The objects demarcate a range of permitted ongoing activities and lend themselves to institutionalization. They also generate a direct *personal responsibility* for owning what is to be achieved overall, and an indirect personal responsibility for whatever is done to fulfil the objects. If the emphasis is on owning in a direct and concrete sense, then the role of proprietor applies. If the emphasis is on commitment to a new risky endeavour, then the role of entrepreneur fits best. However, using the notion of owning and commitment in its most general sense, the *primal role* here is that of the individual, or rather, because our concern is social being, 'the responsible individual'. Of course all roles should be responsible, but the term is most needed here because the term

'individual' is often used to refer to a person rather than a role. The idea that being an individual implies holding a role flows from the notion that society can and must expect us to be primarily responsible to ourselves for our own activities. By being responsible to himself or herself in this way, each person can exert autonomy and manifest individuality. Each person needs to function like this, for example, when embracing the various primal roles otherwise they will be poorly discharged.

Principal objects are ways of meeting needs, of expressing one's value system in action, and of being human. Because objects and associations based on them enable interests to be pursued, they lock into *the self* via individual self-interest. Self-interest derives from the urge for physical and emotional survival, and extends beyond the accumulation of wealth and prestige. Self-interest is essential to enable a person to decide to join one association rather than another, and to be a distinct individual within a community. Self-interest is also essential for a community if it wishes to liberate its members' enthusiasm and commitment. However, because anxieties about personal survival are at the root of self-interest, there is always the danger that it will degenerate into selfishness.

Internal priorities (G-1³) are the degrees of emphasis amongst valid values or actions for immediate use. Priorities generate a *personal responsibility* to allocate value or to assert preference in concrete terms now. This means considering and ordering important aspects in the situation, or affirming what is most important all things considered. The choice distributes money, approval, time, attention, prestige or other scarce resources. It helps steer and orient decisions made about a person or group, activity or output. The *primal role* is that of a governor — but sometimes called more specifically a commissioner, director, assessor, adjudicator etc. Because the allocation of value is a matter of brute assertion, governing is best done in a group, generically called a board (of governors). The board as a whole makes the decisions. Each governor has a responsibility to the board to consider the issue, to assert a view or take a side, to debate options and implications, and to agree the conclusion informally or by vote. The board itself is responsible to the body which constituted it: most commonly some sort of membership-based association, parliamentary entity or higher board.

Boards weigh up values in reaching a decision. The board is needed because a single person's view is too liable to introduce an unacceptable bias e.g. for reviews, examinations, special complaints, adjudications, appeals, public inquiries, and regulation. Organizations use a variety of informal boards (like steering committees,

management boards, disciplinary tribunals, policy-control groups) as well as their formal governing body. Regulatory authorities are sometimes called boards (e.g. the parole board) because their governing bodies, rather than their executives or secretariat, do the essential work.

The need for governors is enormous because no organization — public, voluntary or private — should be set up without a governing body with at least 3 and usually no more than 20 governors. In the UK, over 300,000 governors are needed to steer state primary and secondary schools alone. Some people find themselves attracted to the governing role. It is not uncommon to find a person serving as governor of a polytechnic, a hospital, and a local charity — often for minimal pay. In businesses, pay is more commensurate with responsibility. There are people who make a livelihood from non-executive chairmanships and memberships of boards in perhaps a dozen firms and government agencies, as well as serving on boards of charitable bodies. Of all the roles, that of the governor appears to be the most poorly understood. Non-executive directors in businesses too often do no more than go through the motions of governance work: they draw a salary and are puzzled when the company collapses virtually overnight. Governors in public agencies are usually more dedicated, but frequently behave inappropriately: like adherents (deciding in accord with their value system rather than the realities in the situation), like participants (putting society before the organization), or like leaders (managing the organization without the expertise, experience or time to do so).

Internal priorities are brute assertions by *the self* of what is most desirable at the moment. They are a legitimate opportunity for emotive self-assertion. Self-assertion is required to protect one's interests and bring a particular perspective to bear in difficult or uncertain situations. However, self-assertion taken too far ignores realities and so acts against one's own interests. Extreme self-assertion may, for example, deny the legitimate viewpoints and valid aspirations of other people who are party to the situation. This will not be tolerated for long and the result is likely to be either some form of retaliation or a factional breakdown of the valued association. So the danger here is self-destructiveness.

Strategic objectives (G-1²) are the desired and feasible outcomes which maximize impact in the situation. The *personal responsibility* which is generated here involves developing a sense of what things are really like, a notion of what course of action is best, and a decision about what outcome can realistically be

sought: in a phrase — what is to be achieved now. This *primal role* is that of the leader. It is both pro-active and reactive, as much responsive as determined. Leaders need to have confidence in their own judgement and capability. Everybody is a potential leader in the sense of needing to decide for themselves what is to be aimed for at any point in their own lives. Parents must decide how to shape the evolution of their family. In wider society, recognized leaders are (or should) be found from among the heads of large corporations, within academic institutions and public bodies, and in the ranks of top jurists and senior politicians.

Leaders in all situations are responsible to those they lead. This is obvious when we consider that any task-based group will spontaneously throw up a leader if one is not provided. Leaders need to recognize that they must win trust and must decide in a way that is broadly acceptable to their followers. The effective value-driven leader abjures bribes and threats (carrot-and-stick), preferring to give willing followers an understanding of the situation and conveying a sense of optimism, determination and hope.

Within an organization, managers can be leaders if they really decide what is to be done and feel responsible *to* their subordinates. All too often, managers feel primarily responsible *for* their subordinates to their bosses. Instead of leading, they may merely activate subordinates by pressing them to respond to higher level demands and to do what has to be done. In other words, the accountability relationship which is essential for control seems to run counter to the leadership relationship which is essential for achievement. For best results, organizations require both relationships to be operated simultaneously.

Strategic objectives require a realistic perception of the situation and what can be done within it. Their formulation requires both a dispassionate appreciation of the situation and its sensitive handling. Because strategic objectives enable achievement, they depend on competence and a sense of self-efficacy. In short, they are the basis for *the self* to be fulfilled. Self-fulfilment is necessary to feel useful and alive. Employees with little variety or influence over their work feel controlled and so are not fulfilled. They experience daily frustration, helplessness and hopelessness, all potent causes of physical illness. The reverse situation applies if the self intrudes too far into the leader role. Then followers are ignored, principal objects are neglected, and unreal visions or the status quo become grandiose vehicles for self-admiration. The result is self-indulgence: a common sight amongst top executives and politicians prior to their downfall.

Tactical objectives (G-1[1]) are precise tangible time-targeted results which are steps toward a desired outcome. The emphasis on time deadlines ensures that the objective is not merely wish-fulfilment but is about taking action in the situation and overcoming any and all practical obstacles. Tactical objectives are about process and they define a *personal responsibility* to do whatever has to be done. This *primal role* is that of an agent. To emphasize the fact that an agent does not make the key decisions (which are strategic), agents are often called functionaries, executants, operatives, or administrators.

The managers referred to above who do not act as leaders are behaving as agents. Agents are responsible to whomever has employed them on the particular task. This employer may be referred to as the boss, the contractor, the owner, the instructor, the taskmaster. Workers on the shop-floor often have little option but to function as agents; and housewives often feel the same. Agents either obey orders, follow prescriptions and routines laid down in training, or react to demands and necessity. While they do make judgements about performance and should operate in a sensitive and sensible way, they are not expected to make judgements about the need for their activity.

Tactical objectives are pure means and only contribute indirectly to *the self* and its identity. Here, full attention must be given to activities and impersonal obstacles while personal wishes or needs are pushed to one side. Task completion requires self-control and so distractions from within or without must be ignored. Self-control, which is essentially impulse control, enables persistence. But self-control may lead to automaton-type functioning. A person may become so engrossed in tasks that their own needs, preferences and principles become forgotten. In other words, because tactical objectives do not directly serve the self, there is the danger that successful performance will contribute to self-alienation.

REVIEWING PURPOSE

Disentangling purpose into levels enables personal responsibilities to be appropriately defined, appropriately assigned and accepted. The ever-present dangers are either to hold people including oneself responsible when this is not appropriate, or to deny responsibility for that which is indeed ours. Except in our role as a human being, our responsibility has sharp limits. Sometimes its extent requires careful interpretation. A governor, for example, both is and is not fully responsible for the corporate decisions of a board. A governor does have a responsibility to assert a view to the board, even to confront the board, but the governor

is still bound to uphold the board's final decision. If any decision feels intolerable, the governor needs to discharge his or her responsibility by resigning and explaining why.

We are all captives of our social context and must adapt to group values which we cannot easily or immediately alter. Doctors, for example, can only be held responsible by society for doing what the medical profession deems best — even if subsequently such activities are discovered to be harmful. A doctor, who knows (shall we say by intuition) that a routine valued treatment is harmful and refuses to provide it, is likely to be prosecuted or struck off if the patient complains. The doctor is responsible as a human being to God, as an individual to himself, and as a leader and agent to the patient. But the proper discharge of all these responsibilities pales into insignificance in the face of the doctor's neglect of tribal and social responsibilities. Social pressures so easily dominate over truth and everything else.

Although we are all prisoners of our tribal ideas and community values, ultimate values challenge us to dispute those values we hold to be harmful and to engage in a process of realizing alternative values. We do have a human responsibility to avoid being a mindless adherent or participant, and instead to be an ethical and humane one. To be able to do this effectively, all seven types of purpose must be available for reflection and use, alone and in combination.

Transition. Clarity about the seven levels of purpose and the associated social roles and personal responsibilities enables purposes to be realistically and genuinely articulated. But responsibility alone is not enough to realize values or produce achievement. People must do things. As defined, the various levels have little to say about how activity realizes values. The levels are utterly discrete. Purposes chosen or emergent in each level, often by different people or bodies, cannot be expected to accord with each other spontaneously. Structures and processes which combine and link the different types of purpose are essential to channel and focus activity.

The first and simplest requirement is for something to ensure that values guide those activities which are invariably generated when purposes are responsibly chosen. This implies a degree of constraint. However, if activities do accord with people's existing values, they judge constraints to be appropriate, positively desirable, and as enhancing effectiveness. Grouping adjacent levels in pairs (forming dyads) meets this need for direction.

Master-Table 31

Properties of the seven levels of purpose.

Purposes ensure that responsibility is appropriately defined. Each level is a monad: i.e. elemental and irreducible.
The seven levels of purpose are associated with specific roles, responsibilities and relationships.
See text and review Master-Tables 1-4 for further details and explanation.

Monad (Level)	Level of Purpose	Definition	Relation to Self	Personal Responsibility	Primal Role & Relationship	Pressures	Specialized Communal Roles
7 (L-7)	Ultimate value	A universally accepted and eternally pursued state of being.	**Selflessness** with the danger of self-denial	For: distinguishing good and evil.	**Human being** responsible to **God**	*Theory- or society-based.*	Visionaries, prophets, spiritual leaders.
6 (L-6)	Value system	Interlinked valued ideas ordering understanding within a social domain.	**Self-definition** with the danger of self-glorification	For: affirming ideas instilled during socialization.	**Adherent** responsible to **the value system**	*Group pressures are paramount.*	Disciplinary experts, political party supporters, social movement elites.
5 (L-5)	Social value	A freely shared need-based value serving a specific community.	**Self-development** with the danger of self-preoccupation	For: recognizing what each and all in the community need.	**Participant** responsible to **the community**		Public figures, journalists, voluntary campaigners, social movement activists.
4 (L-4)	Principal object	An activity defining the identity of an endeavour.	**Self-interest** with the danger of selfishness	For: owning what is to be achieved overall.	**@dividual** responsible to **oneself**	*Identity pressures are paramount.*	Entrepreneurs (and everyone when acting autonomously).
3 (L-3)	@ternal priority	A degree of emphasis among valid values or actions for immediate use.	**Self-assertion** with the danger of self-destructiveness	For: allocating value in concrete terms now.	**Governor** responsible to **the board**	*Organization- or endeavour-based.*	Members of commissions, governing bodies, councils, authorities, tribunals, committees.
2 (L-2)	Strategic objective	A desired and feasible outcome which maximizes impact.	**Self-fulfilment** with the danger of self-indulgence	For: deciding what is to be achieved now.	**Leader** responsible to **followers**	*Reality pressures are paramount.*	Managers, decision-makers, ministers of state.
1 (L-1)	Tactical objective	A precise tangible time-targetted result which is a step to a desired outcome.	**Self-control** with the danger of self-alienation	For: doing what has to be done now.	**Agent** responsible to **the employer**		Administrators, unskilled labourers, functionaries.

G-2: DIRECTION

Nature. It is a commonplace that people when locked into an activity forget what is really important; and that people in positions of power, whether politicians or professionals, priests or psychotherapists, managers or academics are tempted to act in ways contrary to the values which legitimate that power. Clearly, activities need to be constrained so that they accord with chosen values, and are not distorted or distracted by other irrelevant values or the vagaries of the situation. To take on a role and have its performance left utterly open, for example, would not make sense. A degree of purposive and deliberate value-control is required. This is acceptable and perfectly possible if the values are already held. Such value-control can be achieved most simply by specifying unambiguous **directions**.

In everyday life, people probably find directions more helpful than the root purposes alone — probably because of the way they reduce uncertainty and bolster the sense of responsibility. For example, principal objects may give a team a mandate to act — but those involved, directly and indirectly, cannot be sure how the project will really affect them and do not feel comfortable with the weight of their responsibility unless the main immediate priorities are also specified. The reverse situation is also true: it is difficult and confusing to work in, or with, a team knowing their main priorities while ignorant or uncertain of the underlying terms of reference. Together, the two levels of purpose specify the team's role. The role specification reduces uncertainty about what will be done, clarifies responsibility, and constrains the team's activities.

Directions provide necessary guidance. There are always many perfectly acceptable values potentially relevant to any situation, so there is often considerable diversity of opinion as to which value will be most significant in enhancing impact. The direction reduces this inherent diversity as well as the accompanying uncertainty. A direction may be compared to a transducer: on the input side, it receives and identifies value pressures of different sorts; and on the output side, it transmits purposes with the potential to constrain and focus. As a result, effectiveness is increased.

A direction can operate in this way because it is formed by deliberately linking purposes set at one level to those set at the level above. The mutual influence between two adjacent levels means that the higher more value-laden purpose can serve as a value anchor indicating what is generally important, while the lower more practical purpose can enable appropriate adaptation. Resolutely adopted and sensitively handled, a

direction can ensure that values are actually used in the situation with maximum effect. So we might say that any form of direction is about *maximizing impact* and therefore defines a *strategic* constraint. Directions bring certain accepted values to the forefront of people's minds. This removes doubt about how to act; and markedly enhances the implications and significance of any particular specification of purpose or value. In short, the *function* of a direction is to ensure that values, chosen from amongst those that are already accepted, focus minds and shape outcomes.

Types. There are six dyads which together constitute the fullest possible statement of direction. Each dyad can be thought of as a distinct type of direction. In descending order, these six types can be labelled: *convictions* (G-2^6); *approaches* (G-2^5); *missions* (G-2^4); *roles* (G-2^3); *policies* (G-2^2); and *plans* (G-2^1). Unlike purposes where all levels are inherent in or strongly implied by any purpose, the dyads present themselves as a number of possibilities for direction. Sometimes two or more types are required in succession. Directions may operate implicitly, but certain situations demand that one or other type should be specifically used as a guide. Descending the dyads, there is progressively more detailed control over what people do.

Each type of direction has a similar internal structure but responds to markedly different forms of pressure. Furthermore, each handles a distinct form of inherent uncertainty in choosing values, and each exerts a distinct type of constraint.

Explicit specification of direction is regularly called for in organizations, and it is obvious that direction is ubiquitous in government and in community life generally. The forms of direction are represented diagrammatically in Figure 10.2, and their properties are summarized in Master-Table 32.

Before considering the general properties of direction and then exploring each type in detail, the six are summarized below in terms of their function, uncertainty, constituent levels and indications for use.

G-2^6: Convictions stabilize a person's ethical stance in changing circumstances. They are useful when it is uncertain how activities can accord with one's deepest values. A conviction emerges from the joint consideration of ultimate values (L-7) and value systems (L-6). The ultimate value gives a conviction its sense of goodness and rightness and so *maximizes impact*, while the value system ensures that it is *appropriately adapted* to the person's socialized identity. Convictions are most evident when explicitly and publicly working with values — so they are needed in domains like politics and the church. Of course, all of us and especially

Figure 10.2: The dyadic grouping which defines directions.
Six types of direction enabling activity to be strategically constrained.
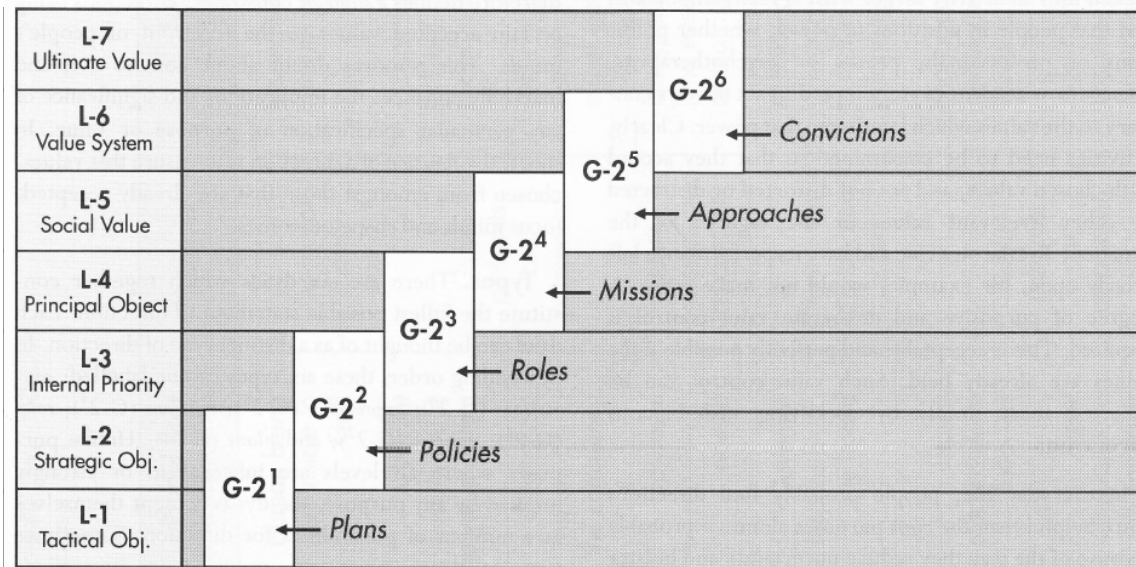
leaders in organizations need the guidance that comes from clarity about our convictions.

G-2^5: Approaches ensure adherents' correct participation within their community setting. They are useful when it is uncertain how activities can promote orthodox beliefs and views. An approach emerges from the joint consideration of a value system (L-6) and social values (L-5). Those who believe in the value system are concerned to enhance its relevance and *maximize its impact* in the community generally, while social values within the approach ensure that this contribution is *appropriately adapted* to personal needs and the group's integrity. Approaches are developed when adherents cannot ignore emerging or complex social issues. For example, as pollution worsens or top executive pay skyrockets, companies and other social bodies like a church or political party as well as opinion-formers may feel obliged to define their own distinctive approaches to these matters.

G-2^4: Missions unify participants' wholehearted efforts in an endeavour. They are useful when it is uncertain how general social support can be obtained for an endeavour. Missions try to make the endeavour significant for everyone by being based on a joint consideration of social values (L-5) and principal objects (L-4). The social values are defined to ensure a sense of shared involvement with and concern from and for the wider community because this *maximizes the impact* of the mission; while principal objects are defined to ensure that the mission is *appropriately*

adapted to the situation and the specific people pursuing it. A mission is particularly needed when an enterprise is new or large or diversified. Without a clear mission, the people involved are in danger of losing a sense of common effort. They will then stagnate or concentrate solely on developing themselves, their discipline or their department.

G-2^3: Roles identify the current contribution of a part to the performance of a whole. They are useful when it is uncertain how to get synergy amongst activities generated by different endeavours which are the responsibility of different individuals. They emerge from the joint consideration of principal objects (L-4) which are defined to *maximize the impact* of an endeavour (project, area of work, function) pursued by a particular individual (post, team, organization); and internal priorities (L-3) which are defined to be *appropriately adapted* to the current situation and to be relevant to the concerns of all. Roles need to be designed whenever there is a network or system of activities. Definition of role is most needed when the expectations on individuals in such a system seem contradictory, excessive or not clear.

G-2^2: Policies coordinate leaders' independent decisions in problematic situations. They are useful when it is uncertain how activities can address an issue with the resources available. A policy emerges from the joint consideration of internal priorities (L-3) and strategic objectives (L-2). Internal priorities *maximize impact* by identifying what is most important, and by

dealing with value alternatives and conflicts which have the potential to misdirect or impede implementation. Strategic objectives specify feasible results which are *appropriately adapted* in terms of both the situation and identified values. Policies are needed whenever controversy exists about what to aim for. Without policies, relatively autonomous decision-makers will work to their own preferences and choose strategic objectives to suit their own local situations. The eventual outcomes are then likely to be patchy, disconnected and incoherent.

G-2[1]: Plans organize essential tasks and use of resources in a time schedule. Plans are useful when it is uncertain how activities can produce the desired result efficiently. A plan emerges from the joint consideration of strategic objectives (L-2) and tactical objectives (L-1), the former providing the beacon for what counts as real achievement, and the latter providing scheduled action steps for reaching this. The strategic objective is about doing the right thing, and the tactical objectives are about doing the thing right. The same pattern emerges again: purposes in the higher level *maximize the impact* of the plan, and those in the lower level ensure that the plan is *appropriately adapted* to the situation. Plans are most needed when implementation is lengthy, complicated, expensive and involves many people in many places.

Properties. The various types of direction have much in common. If they are to be usable, they must be specified in a clear, realistic, manageable and acceptable way. All require the formulation to be as precise as possible. Any direction has to be developed and introduced in a social setting. If it is to be effective, it must be upheld in a determined and resolute fashion. Responsibility for a direction lies with whomever is responsible for setting the higher level purpose. But cooperative work with whomever is responsible for the lower level of purpose is also required, because responsibility for implementation lies there. So a degree of joint responsibility must be recognized.

The directions differ markedly according to the types of purpose that constitute them. We have already seen in the brief summaries that the uncertainty which evokes each is different. The same is true of the various *pressures* which must be handled if a direction is to function strategically. The sources of specification, in practice the sources of pressure, are partly inherent — this is the 'pressure for' something which originates in the lower level; and partly of seemingly extraneous origin — this is the 'pressure from' something which originates in the upper level. Neither pressure can be ignored for long without serious consequences for

achievement. As pressures change, so directions change. Change which involves only the lower level appears as an evolutionary process. If it is only the upper level which alters, then change is an upheaval, radical alteration or U-turn. (Change of both levels implies that a completely new situation is being considered.)

Because direction is such a powerful vehicle shaping activities in line with values, a sensitive and sensible handling of the *social process* is essential. Precisely which values are most needed is always uncertain, and how the balance of attention should be applied to the two forms of pressure is always debatable. Alternatives must be examined and discussed. On the one hand, people must be emotionally engaged so that their acquiescence is genuine. On the other hand, disagreements or objections must be systematically and logically handled so that a usable and authoritative specification is finally reached.

Difficulties with direction are legion. Confusions abound over how exactly to keep people on course, and how to prevent their energies being dissipated. Each form of direction is regularly marked by misunderstanding, confusion, neglect and failure. Much consultancy work suggests that people pursue and use values unreflectively. In discussion, they are often hazy about the relevant values, sometimes nervous about commitment, usually unwilling to be constrained, and invariably unaware of the functions and limitations of the various types of direction. As a partial remedy for this, I will concentrate here on the way things go wrong and use examples with this bias.

Of course it is conventional management wisdom that roles should be well-defined, that policies should be set and so on. But, in practice, there is often a distrust of all types of direction. This is compounded by disagreement about what directional terms (like 'policy') really mean in practice, and by diverse opinions about how they should be determined and implemented. (Making directional terms clear and helping people use them properly was the starting point for the research that culminated in this book.)

Finally, starting at the top with convictions, each direction has an evident *limitation* when it comes to constraining activity. This limitation logically drives a need for a more specific constraint in the service of values. In this way, the analysis moves progressively down the groups until plans are reached. Constraints on activity can then be maximally precise and enforceable.

G-2[6]: Convictions

Nature. Convictions are the most powerful guide we have. Their *function* is to stabilize a person's ethical stance whatever the circumstances. More particularly,

they provide a degree of control over activity at times of major change. These directions, based on socialization and including ethical rules, principles, positions and standards, tend to be part of one's inmost self. Certain convictions are operative or available at all times: but others exist for use in a particular social role.

Convictions are essential when activities need to be personally and deliberately impregnated with values, or when one must tussle with values. Only value systems (L-6) and ultimate values (L-7) have the necessary hold on personal identity to provide for this. When activities are guided by convictions, personal values permeate all aspects of the process — in deciding what to do, in the doing, and in reviewing the results. Each person will make their own judgement about when convictions need to be developed or activated. Personal choices like marriage and career certainly require them, and so do community choices like wars and social reforms. Successful achievement in any sphere at all depends on the powerful energies released by convictions.

Convictions are intuitively recognized as shaping a person's identity as a social being. They integrate disparate parts of the self and minimize hypocritical action. So acting in conformity with convictions is an expression of integrity. In a conviction, the values given by a value system and embedded in a person's social identity are channelled and reinforced by ultimate values which transcend the immediate society and situation. This means that a person does not feel a creature of the tribe or a puppet of the socialization which has been inflicted or sought — although to others it might appear that way.

To assert a point which will be made repeatedly in this chapter, there is no rest in the process of realizing values. As the most traditional group in the most conservative modern society might say: to stay the same, many things have to change. Long established values must be again and again re-affirmed and re-argued and instilled in children, trainees and novices. Such indoctrination can only be carried out on the basis of deep convictions. The development and expression of conviction is one of the most significant aspects of personal maturation. The ability to clarify and hold a conviction and act on it, despite pressures from others or adverse consequences, gives a person solidity and makes for trustworthiness in the eyes of others.

For those who work directly and explicitly with values — like politicians, primary school teachers, top managers, priests, intellectuals, campaigners — convictions are clearly an essential tool. Anyone in a leadership position comes to recognize that convictions are necessary to get superior results. Without them, achievement is limited because it becomes immediately apparent to followers that the leader is not really behind what he or she says. The leader's exhortations are no more than manipulations. They lack depth, permanence and solidity. Although convictions are not enough on their own, a person can do little of significance, and can never be really successful, without their direction.

Pressures. Convictions are developed from two distinct sources: ultimate values and value systems (i.e. ideas or theories). On the one side, there is the pressure for socialization. However, if ideas and their inculcation are divorced from ultimate values, as in Czechoslovakia under communism, then society becomes devitalized because people find that their efforts lack meaning. If, as in the case of early Zionism, the value system is directly attuned to ultimate values, then people are energized and social development thrives.[3]

Socialization is complemented (and sometimes countered) by a pressure from particular intensely personal experiences. This pressure, derived from the responsibility to distinguish good from evil and right from wrong, is what drives major change in convictions. For example, a person's convictions about alcohol consumption are unlikely to be affected by hearing about its dangers, or even by personally suffering a minor alcohol-related illness. But a severe and avoidable death of a family member due to drunken driving might well create the sort of internal alteration that accompanies conviction formation.

Religious and political convictions, too, are heavily dependent on actual experiences. If a person is on the receiving end of corrupt practices by religious and political authorities, then convictions based on socialization by those authorities are undermined. For this reason, official guardians of creeds and ideologies are regularly embarrassed by their debasement in practice and are inclined to suppress revelations of corruption. Moliere's *Tartuffe* was banned by the church although it was an accurate portrayal of hypocritical sanctimony, commonplace and common knowledge in Paris in the late 18th century.[4]

If the lessons of experience lead to convictions which cannot be openly expressed because of opposition or hostility based on the orthodox view, then people become demoralized. For example, experiences of accidents in manufacturing plants might lead a person to the conviction that improved safety regulations are essential to protect people. If this is not welcomed by business or government, then the person may become demoralized unless some means is found to do something based on that conviction. A progressive society will provide an opportunity for such convictions to be expressed, while a repressive society will not.

Convictions evolve as the ideas within them evolve. For example, convictions about child care slowly evolve as psychological understanding develops (for better or worse) in a society. Similarly, convictions about healthy eating evolve as medical findings emerge. Convictions are radically altered when ultimate values change. For example, social workers with convictions about caring for people may move from being driven primarily by compassion to being driven primarily by justice. In such a case, their personalities and activities may show a major change: from providing services they move to insisting on rights, from supporting individual clients they move to activating whole communities.

Social Process. In the absence of convictions, values can only be weakly realized. However, producing convictions or making contact with them is not always straightforward. The process of developing convictions may be left unconscious and quasi-automatic much of the time. But when we work with values, as parents for example, our convictions do emerge. We are often challenged by our children or their friends when they seem either to lack convictions or to hold ones different to our own. In order to bring convictions to bear and to handle disagreement, we must clarify our present convictions. We find we do that in the process of talking about them or arguing. Convictions may also take shape when writing a diary, memoir, or personal letter. Convictions portrayed in a modern novel, biography, autobiography or newspaper interview help us reflect by revealing how others run their lives.

If working with values is an occupational requirement, then delineating and refining existing convictions must be deliberate. Convictions are to be found in political and religious pamphlets and polemics, usually provoked by the need for change. For example, churchmen in recent decades have had to deal with a range of issues and problems unimagined and unimaginable a few centuries ago: urbanization, gene therapy, AIDS, television, global communication, nuclear weapons, drug abuse, and the juxtaposition of desperate poverty alongside immense private wealth. Such situations cannot begin to be addressed without new convictions. New opinions can be developed while musing in an armchair, but not new genuine convictions. Convictions about the present state of the prison system, say, require reading, exposure to new ideas, contact with relevant people, and visits to jails.

Convictions feel personal but they are social in origin and social in effect. People who work together in the realm of values must find ways of jointly developing and meshing their convictions. In the creation and honing of convictions, an active process of exploration is required. This involves self-exploration through inner dialogue.

Value-workers need to meet or go into retreat to bring deep feelings and troubling perceptions to the surface. Through meditation a person can discuss with himself or herself (or with God), and then the results can be shared. In the process of sharing, personal convictions are deepened further. The same principle is applied in setting up support groups for single mothers, for victims of crime, or for sufferers of particular illnesses.

Meditation is an inner-directed experiential process in which something that feels right emerges in the mind. But meditation can produce false or even quasi-delusional convictions to avoid facing realities or personal change. It may also happen that newly emerging convictions show serious inconsistencies with old convictions or diverge from currently popular views. Such matters require serious consideration. So intellectual objections to whatever emerges may be and should be raised by oneself — because they will certainly be raised by others. Through reflection, it is possible to answer common-sense objections, deal with urges to avoid, reconcile conflicts with other convictions, prepare oneself to answer any hostile criticism from others, and ensure the convictions fit both the value system and the matter in hand.

Difficulties. Genuine convictions are difficult to generate: but, once formed, they are possibly even more difficult to alter. On the one hand, convictions which are held so lightly that they can be put to one side when expedience requires it do not deserve the name. On the other hand, genuine convictions can be intrusive and disruptive when a pragmatic approach seems evidently required. But refusing to hold convictions is not the solution to either dilemma. If convictions are absent when they are needed, a fertile bed for discord, chaos or corruption is created.

In the case of some politicians and managers, it is hard to tell from the outside whether the problem is an absence of conviction or faulty convictions. Convictions, being subject to the magnifying effect of ultimate values, may emerge as dogmatism or unshakeable irrational prejudice. Subjectively, convictions are always right; but, naturally, convictions can be labelled as objectively wrong — that is to say judged authoritatively as inconsistent, unrealistic, or inaccurate.

Convictions are by nature relatively impervious to facts or reasoning. They are a value pressure attempting to overturn brute facts. Convictions offer themselves as the starting assumptions for action, not the end result. They may be deliberately divorced from reality because they exist to channel activities and alter reality in line with values as powerfully as can be imagined. If used in the wrong context, the individual appears peculiar, intransigent or overbearing.

Limitation. Convictions emerge as the end result of an interaction between imaginative experience and embedded group-based ideas. So they are a deeply personal development of the adherent role. Although convictions can provide a person with an inner orientation to life in general, they cannot ensure that all adherents will deal with emerging social needs in a similar fashion. Something less personal, more social and more accessible is required. This can be generated by moving down a group and constructing an approach.

G-2⁵: Approaches

Nature: Whenever it is felt that activities really ought to be determined by certain ideas, then an approach is developed by the guardians of that value system. Approaches make abstract doctrines and theories immediately relevant, because the *function* of an approach is to ensure the correct participation of adherents within their wider community setting. In other words, they link value systems (L-6) and social values (L-5). Approaches respond to the requirement on any theory or doctrine (or tribe) to demonstrate a distinctive and constructive connection with relevant areas of social life. They deal with the uncertainty about how activities can promote the orthodox view. Acceptance of an approach creates what may be termed a 'mentality' in a person, because the approach becomes a quasi-automatic way to think practically. In this way, activities in important areas of social life demonstrate, disseminate and perpetuate adherents' beliefs and enable explicit maintenance of a tribal or ideological loyalty.

Approaches are defined whenever a new problem or issue emerges in society and guardians of the value system wish to be sure that adherents engaging with it are generally upholding and using the correct ideas. Christians, for example, need an approach to creating and handling wealth because on the one hand they live in a society where great value is placed on this, and on the other hand their doctrine seems to suggest that wealth is harmful and poverty is spiritually superior. Without their own approach, Christians are liable to adopt an approach defined within another domain (e.g. becoming Christian-socialists or Christian-capitalists). Alternatively, they may split themselves psychologically in a way that opens them to the accusation (and possibly the reality) of being hypocritical. The worst outcome for the orthodox is that ordinary adherents drift away from Christianity, complaining that it is out of touch with everyday life.

Political, professional, religious and other tribes are not usually coterminous with communities. But tribal adherents are full-fledged participants in their com-munity, and as such they naturally seek some guide on problematic matters which lie outside the total influence of their value system. Approaches, like value systems, are multiple and diverse. So different groups of adherents, either collectively or individually, must develop different approaches to the same problem (e.g. wealth inequalities), each doing so from its own perspective.

The approaches described in this book — to ethical choice, to inquiring, to decision-making, to identity-development — can be viewed as theoretical frameworks (i.e. value systems). However, it is also accurate to call them approaches because they are based in general philosophies and personal beliefs (pragmatism, individualism, transcendentalism &c) which are self-evidently true to some people, and are obviously extremist, wrong or incomprehensible to others. The approach is generated by applying these theoretical beliefs to everyday needs (like choosing, knowing, deciding, personal growth) which are personally and socially unavoidable.

Ill-defined value systems within social movements, like consumerism or holism, may never emerge (outside academia) other than as approaches. Patient-centredness in hospitals, for example, is an approach emerging from a mixture of consumerist and holistic philosophies. It seeks to maximize the impact of ideas like the whole person, responsiveness and autonomy; and does so by defining appropriately actual needs of patients e.g. for relief of distress, comfort, convenience, privacy, company, and explanation.

When businesses refer to the need for culture-change, they are often referring to a wish that staff would adopt a new approach to their work. The privatization of government agencies, for example, requires both the adoption of a new controlling value system and the recognition of radical but necessary social values: e.g. the principle of competition with other firms to meet customer needs must be accepted, and the jobs-for-life and politician-focused attitudes should vanish. For the people involved, accepting the new approach means developing a new mind-set — not an easy task.

Pressures. Approaches can prevent the ever-present tendency for people in a complex society to compartmentalize themselves and put important values, often ethical rules and principles, to one side.[5]

The inherent pressure producing an approach is either the need for social integration of adherents, or the threat of social modification of ideas in a value system. Homosexual Jews, for example, are in a dilemma wherever society fosters openness and accep-

tance of their sexual orientation, because orthodox Judaism condemns it. Without an appropriate approach, such people are either lost to Judaism or unable to function socially. This example illustrates the way that social needs, problems, challenges or temptations raise uncertainties in the minds of adherents. Unless these uncertainties are resolved, group allegiance is weakened, the group as a whole is perceived as extreme or retrogressive, and the social effectiveness of group members is impaired.

Religions may generate approaches defensively to prevent or modify what seems like an expedient encroachment by alien values: cf. the Catholic approach to modern birth control methods. However, approaches may be created positively to aid community life and increase the relevance of a value system. (This was certainly the spirit in which the approaches to ethical choice were developed: Ch. 6.) Political parties, professional associations, scientific theories and other non-traditional and non-religious ideologies experience pressures to develop approaches to a constant flow of significant issues. The existing orthodoxy, the pre-determined set of beliefs and theories, is felt to be sacrosanct — and yet the reality of embeddedness in a community cannot be ignored. So, if the orthodoxy has some direct or indirect bearing on a social issue, an urge to shape the social response exists or emerges in time. If community-based challenges are avoided altogether, then progressive marginalization of the orthodoxy is likely. Some members may loosen their adherence, but the more likely result is a split in the tribe along a progressive–fundamentalist dimension.

Approaches evolve with time as social needs alter with the development (or deterioration) of a society. This is most clearly seen in religions and political parties. Over hundreds of years, Christianity came round to recognizing the social values of democracy and scientific inquiry and, correspondingly, their approaches to many issues altered. Over decades, the left-wing political parties have slowly modified their approach to economic management. A revolution in approach takes place when a new value system with its distinctive ideas is adopted. A politician who switches parties starts espousing new ways of handling many issues in society. In the same way, if a businessman becomes deeply religious, his approach to management may well change greatly.

Approaches generally go to the fundamentals: in society — the economy, crime, war; in businesses — efficiency, quality, customers. The absence of an approach where it is needed leads to a weakening of socialization, a confusion about what is important, malfunction in the domain, and conflict within society.

The approach may be missing because a suitable value system (i.e. theory) is lacking. Radically new approaches require detailed investigation and better ideas, a course whose pursuit usually awaits the unambiguous failure of existing approaches.

Quality in firms is a case in point. Any approach to ensure quality, for example, must be based on a set of ideas that credibly define what quality is and how quality can be achieved, and then relate this to a firm's needs and existing values. Until recently, it seemed that quality depended on endless exhortations from managers to shop-floor workers to do better. Total quality management (TQM) is a recent better theory stemming from the work of Deming and others whose valued ideas include: customer sensitivity, clarity of role and purpose, improved management systems, interdepartmental cooperation, problem identification, staff empowerment to prevent and solve problems, statistical control of processes, and the notion that improving quality saves money. When TQM is adapted to the needs of a particular industry and firm, it becomes an approach. Of course, staff are rarely adherents to the ideas, so adoption of TQM is easier said than done.[6]

When old approaches fail, the usual response is to redouble the pressure, become more controlling, perhaps introduce incentives or punishments, and slowly create an artificial world sometimes permeated by covert and smouldering fear and hate. Devising new approaches is more constructive. Deming, for example, saw that the slogans and targets approach to quality denied management's responsibility and exhausted vulnerable shop-floor workers who were already doing the best they could. Similarly, Freud over-turned the then popular approach to neuroses, when he recognized how counter-productive exhorting and lecturing was and valued instead the understanding of inner dilemmas. By analysing inner experiences and steadfastly refusing to pressurize people, he created a new psycho-dynamic approach to therapy which has given rise to an enormous variety of methods and stimulated the creation of other useful approaches.

Social Process. Attempts to direct people to act in accord with beliefs and theories are the stuff of social life. Priests sermonize in church, lecturers teach in seminar groups, speakers address rallies, parents bring children into line, politicians appeal to the nation, campaigners write leaflets. Many group activities in management training, church work, professional meetings and psychotherapy are about exploring and insisting upon a particular approach.

In all such situations, the aim is twofold. On the one hand, there is a wish by guardians of the theory, or tribal

leaders, to instruct. People must learn about the approach. They must understand what the relevant social issues and needs are, and how the value system is pertinent to these. They must be encouraged to criticize and raise objections, to which, however, a ready coherent response should always be available. On the other hand, people must also, usually simultaneously, be emotionally pressured to agree to the approach.

Applying moral pressure works best if the receiver shares the value premises of the exhorter. The less the congruence between the approach and the recipient's ideas and values, the more alien and objectionable the exhortation seems. The greater the congruence, the more reasonable. If value alignment is near complete, the receiver enjoys and adopts the approach, and commends it to others.

Firms need approaches to introduce new ideas or ideologies, e.g. performance-related pay in a public sector agency or TQM in a business. The idea or ideology threatens the staff (as an internal community) and they show resistance and reactions more intense than those generated by new posts, new systems or new plans. The approach must be designed to explain the ideas in a way that accommodates to the existing social values and heads off the resistance by indicating the need for the ideas. Getting staff to adopt and adapt new ideas and use them automatically in their everyday activities is difficult. Success does not come from training staff in new skills or imposing a policy. Value change of this sort requires more dedication, determination and education. The ideas must be carefully validated and skilfully adapted. Improvements should be convincingly instigated and demonstrated. Once there is widespread recognition that the approach will not be a fad and that it really does have value, then people become determined to preserve it and seek to educate newcomers in it.

Difficulties. Approaches, like theories and ideologies, are often produced by people of conviction. They can be emphasized and supported with such zeal that they disrupt rather than assist. New approaches, while not as difficult to develop as new convictions, also touch on the bedrock of a person's socialization, and potentially challenge existing beliefs and conventions. However great the need for an approach, it must be developed and introduced with sensitivity and caution if uncontrollable opposition is not to be evoked.

Approaches, like value systems, are diverse. Difficulties in reconciling the variety may emerge. A range of approaches based on radically different doctrines — biomedical, psychoanalytical, behavioural — offer themselves in the therapy of mental illnesses and behavioural disorders. Sometimes pursuing just one is preferable, sometimes a judicious mixture is best for the patient or client. Imposing a single approach to management in large organizations — quality-based, technocratic, computerization, pragmatist and so on — is rarely productive. Instead different aspects of the organization and different domains and disciplines require different approaches.[7]

Limitation. An approach enables an idea, doctrine, framework or theory to be socially applied and used. It directs adherents in their accommodation to the community and so, like convictions, primarily focuses on the identity of people and groups. However, many activities which require to be influenced by values take place within bounded endeavours — projects or organizations — with a life and identity of their own. Such endeavours impinge on us as outsiders or we serve them as insiders. So some direction is needed to ensure that an endeavour recognizes and is constrained by values held by people who are directly affected or potentially committed. For this we must move down a group to define a mission.

G-2⁴: Missions

Nature. A principal object provides for an internal value consensus on which activities lie within the boundaries of a worthwhile endeavour. On their own, principal objects (L-4) suffer from being inward-looking and quasi-legalistic. Social values provide for a value consensus crossing organizational, institutional and theoretical boundaries, and tap into the identity of the wider community and its needs. On their own, social values (L-5) suffer from being too encompassing and non-specific. Taken together, however, the deficiencies of widely shared values and tightly defined objects cancel out. The result is a powerful consensus-promoting, resource-producing, enthusiasm-generating and identity-developing direction which may be called a mission. The *function* of a mission is to unify participants' wholehearted efforts in an endeavour.

A mission conceives any endeavour to be a unified entity within a social context from which it draws resources. It is used to ensure that any purpose or activity within the endeavour is in accord with or finds a point of reference in values which are both internal and essential to the endeavour, and also externally widely endorsed. The mission engages the support of those involved in the endeavour, and recognizes that they also experience themselves as part of a wider community. It also serves to reassure, in a general way, those who are not immediately part of the endeavour but are affected directly or tangentially. So missions deal with the uncertainty about how to get social support.

To harness efforts effectively, a mission should be specified to provide long-term stability. Objects likely to be temporary or which are purely aspirational are out of place. Although missions sometimes seem to be replete with what everybody already knows, unless and until these values are stated, nobody does seem to know what an endeavour or project is about. So the absence of a mission weakens organizations internally and externally.

The function of a mission is met if any and every type of activity pursued falls within it and recognizably serves values in the community. Missions need to be altered periodically to take account of shifts in social values and alterations in the activities being pursued. Such modifications need to be handled with care. Disturbing the twin pillars of stability and consensus created by a mission should not be undertaken lightly.

Missions may be formalized as constitutions. The main activities and structure of associations and companies are often enshrined in a legal constitution, sometimes called a charter. This document frequently includes a statement of those values that explain the significance of the body in wider society. Within the executive or employee body, the needed direction is often produced informally as a 'mission statement'. For example, the management of mental illness can only be developed successfully by a public hospital if it is clear what the relevant community values are and what specific services are to be provided.[8] Departments, functions and other enduring services within an organization generally benefit from clarity about their mission, especially if they are new.

The mission is appealed to when uncertainty emerges about whether or not a particular activity is properly part of the enterprise. Without an explicit mission, voluntary organizations may drift from activity to activity, or become so trapped in a regular grind that innovations are rejected out of hand. In one voluntary social work agency, for example, case work had become the norm and a new Assistant Director encountered intense resistance to the introduction of community-centred support. Putting effort into community work only became possible when the agency's governing council ruled decisively that their mission was relief of social distress and provision of aid to disadvantaged families — not a particular method of work.

Pressures. The inherent pressure when defining a mission lies in the need for an identity which embraces certain distinctive activities. Returning to the example of mental illness services, it is evident that the precise types of service appropriate in a publicly funded hospital may well differ from those appropriate to a private hospital. To reduce constraints, objects may be defined with a wide scope. However, if the scope is too wide, a mission lacks specificity and gives no direction at all. At the extreme, firms have been known to produce mission statements which are totally devoid of any reference to specific work. They refer vaguely to 'making profits' or 'producing excellence via leadership and strategy'. Such imprecision has the potential to confuse staff and diffuse their efforts. At the top of a business, vagueness fosters mindless diversification.

The other pressure contributing to the specification of any mission comes from popular demands and social concerns in the surrounding community. These values must be recognized and incorporated to ensure the enterprise can recruit employees, find clients, be acceptable to suppliers and generally thrive without harassment. The values in a mission should be reassuring, not radical. In the UK, for example, values like respect for people, high quality products, efficiency, and safety are generally felt to be relevant to businesses even if they are not always observed. People in a firm may differ greatly in what they do, but they are unified by these values in their doing of it. If such values are excessively neglected or ignored, discontent and even antagonism are liable to be provoked from within the firm.

Missions evolve as the key activities become modified, perhaps by market demands or by technological developments. A mission may need to be changed radically if key social values alter. Endeavours then undergo a revolution. For example, when the social value of informed debate replaces the value of supporting the regime, newspapers become quite different in content as well as approach; in a similar way, the emerging social value of care within the community has led to the transformation of mental illness services — including hospital closures, staff re-training, and direct handling of community prejudices.

Social Process. Quite apart from any legal necessity, an organization requires a mission which people can understand and with which they can identify. Ensuring that a mission is developed is the task of the leadership. But a mission really needs to be freely adopted and willingly used by those who are expected to accept its direction. The only way to produce this state is to ensure full involvement. So, although top management may be responsible for producing a mission, means must be found to get suggestions and criticism from staff at all levels. Incorporating these ideas, together with widespread consultation on drafts, can then eventually produce something which has substance and validity.

Participants in any enterprise unconsciously see themselves in two roles corresponding to the two types of purpose: as association members, partners or

employees (hoping to benefit from the principal objects) and as community members or representative citizens, often themselves users or customers (hoping to benefit from the social values). Each of these roles is emotionally significant and potentially supports the other. Their combined activation is the basis for a person giving wholehearted assent to any mission. In the case of large organizations, there is also the need to view staff as a quasi-community with its own social values — which are naturally a sub-set of those within the wider community.

Participants who have objections to the mission, or are alienated for some other reason, may focus on their own work to the disadvantage of the wider endeavour. But the very nature of a mission requires that all working to it must be included if at all possible. So objectors must be dealt with in a sensible fashion. In a large enterprise, the public relations division has a task to help general managers reach staff who have distanced themselves or become disconnected. If these involving tactics fail, then some form of deliberate exclusion is required e.g. by replacing or transferring staff, by selling the division to an outsider or to the disaffected managers, by setting up a separate subsidiary. There can be no place in an organization for anyone who does not subscribe to a well-chosen and realistic mission. The alternative would be to allow incoherence and fragmentation or the creation of organizations within an organization.

Difficulties. Problems in developing and using a mission are legion. One problem is the tendency to treat the whole exercise as a way of manipulating people rather than as a serious attempt to integrate and engage people. Too commonly, a mission exists as a formality with the social values neglected and the principal objects weakly understood and haphazardly pursued. In many firms, social values function as vacuous and vaporous attempts by public relations experts to create a glossy image which has little or no substance in practice. Difficulties arise when an enterprise lets itself become alienated from the wider community. Top management may contribute by viewing emerging social values as something to be resisted, failing to recognize that their own staff take community opinions and the new needs seriously.

Even missions specified with the best of intentions are sometimes no more than a list of worthy virtues and aspirations (social values) and so create no more than a nod of routine recognition. At another extreme, the mission is suitable but so legalistic that no one can understand or use it.

It is precisely because missions are so significant and

encompassing that disruptive elements within an organization may be tempted to use them for their own purposes. Membership-centred organizations and political and religious groups, for example, are particularly vulnerable. Once established over some years, any organization represents a significant resource of people, money, good-will and facilities. Activists perceive that altering a few sentences in the formal mission can completely change the body's operation and style of working. Engineering such a hijack by infiltrating key committees is far easier than setting up a new separate organization.

Limitation. The mission indicates what people generally seek when joining and forwarding an endeavour. However, it does not give any direction as to how any particular individual should operate to support the endeavour, or how necessary interactions between endeavours pursued by individuals should be co-ordinated. To promote cooperation and manage conflict during joint effort, people need the direction provided by an agreed role.

G-2³: Roles

Nature. It is necessary to distinguish between what the endeavour of an individual (organization, person, government &c) is about and how generally it should fit in with other work in the relevant network. The endeavour (project, function, type of work &c) is defined by the principal object while the mode of fit is its role.[9] Roles are therefore based on principal objects (L-4) but contain something more: a statement of priorities (L-3) which make the objects relevant to the greater whole at a particular point in time.

Here are some examples where clarity of role might be essential to guide staff: the role of exporting in a small expanding business, the role of research in a hospital, the role of commercial sales in a voluntary organization, the role of public relations in a government agency. Guidance is needed because such endeavours, immediately and in the future, inevitably involve or impinge upon other efforts in the overall enterprise. Everybody involved needs to know what the specific endeavours — exporting, research, commercial sales, public relations — are about i.e. the principal objects; and also where attention, emphasis, time and money will be placed in pursuing these i.e. the priorities. Clarifying the role in this way enables specific contributions to be inter-connected and related to a total and joint effort. In short: the *function* of a role is to identify the current contribution of a part to the performance of a whole. By defining all roles well, performance can be maximized.

An agreed role both constrains and guides people in dealing with each other. Roles facilitate interaction, increase synergy and reduce misunderstandings. Explicit definition and assertion of a role are essential when different endeavours or individuals need co-ordination because they impinge on each other. If roles in a network defined by an organization or inter-organizational endeavour are not clear, then inter-actions between individuals are unlikely to maximize overall performance. Roles within an organization or strategic business alliance may be tightly structured, but the network in community developments — including, perhaps, voluntary bodies, local government, public agencies, businesses, and citizen action groups — is necessarily far looser.

Pressures. The definition of any role is influenced by pressures, again from two distinct sources. First, the role must be based in the functions which have to be performed. Functional responsibilities are inherent in the position of any endeavour or individual in a net-work: e.g. a personnel department cannot avoid addressing issues of pay, an environmental pressure group cannot abandon its concern about pollution, a head of department cannot ignore leadership work. The functions of component parts flow from an analysis of what is required for effective performance of the mission of the entire system. Managers have been known to forget their function and define their role in terms of activities like attending certain meetings, liaising with other organizations, participating in teams and so on. But then the questions begged are: why are these activities needed? and what is the manager being paid to do in those meetings, liaisons and teams? and how should others respond? So role is primarily a matter of function not action. (Lack of clarity on this point is often at the root of serious management problems.)

The second pressure when defining a role is to ensure that it meets relational requirements. Handling relationships is essential when individuals pursue their own endeavours as part of a larger endeavour involving a network of others. Development of a proposed new role means deciding priorities for action and this involves recognizing existing directions and values which are held and pursued by others and the endea-vour as a whole. Relationships must be handled sensitively and diplomatically in these terms. If roles are defined or thoughtlessly installed without appreciating existing endeavours and work relationships, then conflicts and territorial disputes are liable to develop and become institutionalized. This seems to be a particular problem in the higher reaches of government bureaucracies and in the headquarters organizations of giant corporations. In these stratospheric realms, roles and teams proliferate with abstract titles, while those involved cannot clearly say what they are about or how they produce synergy.

A danger in firms that are run pragmatically is an overload of tasks, each disconnected from the others. This incoherence overwhelms and exhausts staff. If, however, all work is seen as part of a system pursuing certain priorities, then an extra project or service can be included more naturally by spelling out its role. This entails showing how its nature (principal object) should be tailored to help managers achieve the priorities with which they are currently struggling. Clinical audit of care in one hospital, for example, was more easily intro-duced when it was explained that its role involved responding to patient complaints, becoming a 'pre-ferred provider', reducing litigation expenses and enhancing cooperative working. Previously, audit had to be introduced simply because it was a 'good thing'.

Any role develops over time because priorities need to change as the situation evolves. In the fluid and poorly defined social setting of a family, for example, it is recognized that parental roles need to alter as children grow up. When people speak of a changing role, this sort of evolution is what is usually meant. The object of local government, for example, is to ensure that its community gets necessary services. The trend in many countries is to view direct provision of services as inappropriate and to pursue this object by enabling service provision. Here again, the role is evolving while the principal object is unchanged. If, instead, principal objects are re-specified while priorities remain unchanged, the role is radically altered and its impact may be markedly enhanced or reduced. For example, if the principal object of research in a firm changes from keeping up with external developments to generating basic innovations, then fulfilling the role demands far greater investment, different staffing and skills, new external relationships and so on — even if the overall priorities for research remain completely unchanged.

Social Process. Roles invariably exist in a network. To some degree a role may be allowed to evolve and adapt with the wider network. Many adjustments to performance can be handled implicitly as people make allowances for each other. Such informal networking is emotionally comfortable and leads to easy agreement. However, active negotiation is essential when a new type of activity is being established or when a sub-stantial change in work is required. Clashes with other activities in the network will provoke objections and disagreements. These conflicts must be sensibly argued until a satisfactory resolution is found. If roles are not actively developed in this way, certain types of activity

tend to lose out unnecessarily, key people responsible for that activity become edgy and unhappy, performance deteriorates, and the wider network may become dysfunctional.

In organizations, pressure for relationships and the comfort of networking may take precedence over the pressure from functions or responsibilities and the effort of argument and negotiation. As a result roles are distorted by empire building, activity becomes chaotic, and the overall endeavour is not forwarded. Instead of being based on cooperation, roles then evolve implicitly as part of a political process in which people battle for personal status and influence. Incentives targeted on individual performance are always in danger of exacerbating this tendency.

In organizations, the need for strong management and clear accountability means that roles should be proactively, participatively, and carefully clarified so that they serve the mission. Once defined, maximum autonomy for individuals is then both desirable and possible. Any role definition ramifies through the relevant network. For example, the new work of contracting required in the National Health Service (prompted by the requirement for health care services to be purchased from providers) raised issues of how contracting work fits with other management activities (i.e. its role). Naturally it was associated with dedicated contracting posts, but their roles depended on subtle and not so subtle changes in the roles of planners, accountants, doctors, general managers, information specialists and others. To handle such situations, negotiation with superior and collateral managers, and discussion and consultation with relevant people throughout the organization are essential.

Difficulties. Roles should be defined in an unambiguous way. If they are not, and especially if they are disconnected from the mission, or if the priorities are vague or no more than tactics in disguise, then people are liable to become confused. This is particularly likely in community developments and organizational alliances. The absence of adequate role specifications leads to a loss of focus on what must be done, a weakened drive to achieve, a lessened sense of responsibility, and absent or ineffective interactions. The end result is that cooperation fails and necessary work does not get done.

One problem here is that clarity about immediate priorities may be easier to define than clarity about the principal objects which must be designed to maximize impact. Such failure produces role conflict, role blurring, role ambiguity and avoidance of responsibility. Insufficient discussion and consideration of the impact of new roles or role changes on the network of relationships is also common. Pragmatic leaders, using the 'let a thousand flowers bloom' principle, deliberately avoid defining roles in terms of function. Roles then define activities rather than directing them and people find their scope for discretion varies unpredictably. Unthinking pragmatists are also prone to alter roles abruptly, disrupting relationships and weakening the communal and cooperative spirit. People react by becoming fearful, selfish, inhibited and over-dependent.

Roles, like convictions and approaches, must suit the individuals most involved, but here one can expect people to make a far more determined effort to adapt. Nevertheless, going to the extreme and throwing the most convenient or most senior person into a job is not very effective and can harm the person. It makes more sense to find someone or a group which can naturally fill the role. Not everyone who can fulfil a role in terms of its principal objects, will handle the immediate priorities well, and vice versa. Not everyone who can meet the functional responsibilities can meet the relational requirements and vice versa. Exactly the same applies in governments' use of public agencies and non-governmental organizations to pursue their policies.

Commonsense says that neither people nor organizations can achieve just because it is asked of them. Yet expecting too much is common, and assuming that people will 'grow into the role' or that an organization will get used to a new type of activity is a much used ploy in the political and managerial armoury of self-deception. Conventions often make it difficult for a person to refuse an unsuitable role extension or change, especially if it confers more status or money. But persisting with a poor fit soon leads to an unhelpful distortion of the role or covert failure with emotional distress and the likelihood of physical illness.

Even when roles are properly specified, acting in accord with them is not necessarily easy. A common response is to distort the work so that there is room to do what is easy, personally liked or advantageous and to ignore what is personally disliked or difficult. Other dimensions of the work may be forgotten or downgraded in the process. It is a commonplace, for example, that many chief executives find their governing body bothersome and undermine its role. A similarly cavalier and confused attitude to roles is evident in organizations which have proliferated tiers of managers: each manager characteristically claims to be doing the 'real' policy or strategy work and insists that the managers in the tier below are doing the 'day-to-day' management.

Limitation. Roles direct the way that individuals (people or organizations) perform overall in a network, but not the way that they handle particular situations. So roles become a vehicle for the exercise of personal preference, factional pressure and tribal loyalty. It is easy to make decisions on such bases, but to do so breeds disarray and chaos when what is needed is a coordinated effort to produce a worthwhile result. So a more concrete form of direction is required, one which explicitly recognizes and deals with emotional pressures, especially the competition for resources. This direction is a policy.

G-2²: Policies

Nature. Where independent actors are required to produce a desired outcome jointly, each has a partial view and a distinctive situation to handle. So they will differ on priorities (L-3) and no particular strategic objective (L-2) will seem quite right to all of them. As well as being a source of dispute, internal priorities are too non-specific to guide a sustained course of action. Overall strategic objectives will indicate what can and should be achieved given the present reality, but on their own they are too neutral and technical to accommodate different viewpoints or to satisfy the deeper quest for value. By considering the two forms of purpose jointly, a direction can be generated which indicates to all in a satisfactory way exactly what must be achieved now, and why. This direction is known as 'policy'.[10]

Most significant achievements and failures in organizations and governments can be traced back to the presence or absence and quality of policies and their implementation. So policy is important: and yet 'policy' is one of the most abused words in management and government. The label of 'policy' desperately needs fixing. The nature of policy ought to be generally understood by everyone in responsible positions, even if it remains difficult to develop and install good policies. Alternative notions should be given satisfactory alternative labels, say: 'procedure', 'strategy', or 'maxim'. This demands, however, some clarity about what you are trying to do and a determination to use the right conceptual tool for the job.

Whenever the way forward is felt to be uncertain, there will be controversy about what to do. When things are uncertain, protagonists take up varying stances largely based on past experience, self-interest and group loyalties. The marketing, production and development wings of a manufacturing organization, for example, each need to be led by dynamic professional and committed leaders if the firm is to thrive. However, the consequence is that they are likely to see the handling of a new product or service in quite different ways. If these divisional leaders and their staff are going to cooperate in producing something new, then their conflicting perspectives must be respected and differences between them resolved. Policies should be developed to do just this. In short, the *function* of a policy is to coordinate the independent decisions of leaders in either new or problematic situations.

Policies recognize that strategies and tactics need to be different in different places and that the people in charge must be left to choose these for themselves. Government policies, for example, address a variety of leaders: of other countries, of businesses, of quangos, of lower tiers of government, of voluntary bodies and/or people in general. The uncertainty being addressed by a policy is typically characterized as an issue — a focus of intense concern which demands a coherent response. The issue sometimes appears irrational or objectively trivial, but this does not mean it can be ignored. The issue, as they say, must be gripped. Otherwise people acting on their anxieties may scupper the effort or precipitate a chaotic or disastrous outcome. So policy is a matter for governors and leaders i.e. governing bodies and top management in organizations.

Policy-making cannot be used effectively to direct people without an adequate appreciation of the need to address issues by using the two constituting levels of purpose. The basic natures of internal priorities and strategic objectives must be explicitly recognized both during policy development and implementation. Academics or bureaucrats who believe that policy should flow directly from systematic research or analysis fail to appreciate that policy is about managing value diversity, emotive issues, disagreement and uncertainty. Similarly, politicians who believe that policy is simply a matter of insisting on certain favoured values, fail to recognize that the policy must spring from an immersion in the hard realities, an understanding of the problems being faced and feasibility constraints.

For example: worthy priorities of the Thatcher conservative government to make people more aware of what local government did with their money, and to help people bring pressure on their councils to contain spending came to naught. The community charge, a flat-rate 'poll' tax on everyone, was the strategic objective chosen to implement these values. But it failed miserably because the government ignored how complex tax collection was, the way small increases in council spending produced large tax increases, and the feelings of unfairness engendered in so many people. Eventually the tax was abolished in the face of the need to resort to courts to make collections, escalating

hostility focused at central government, and continuing poor control over local government spending.

Successful policy-making in organizations is easier than in government because staff are socialized into following a superior and working with others. Even so, policy is not always used. It is possible, at least for a time, for operations to succeed in the hands of a dynamic chief executive who leads opportunistically and with little delegation or concern for coordination. However, explicit policy-making is absolutely essential within headquarters organizations of group or holding companies like multinationals if they seek any coopera- tion or coordination amongst and within their largely autonomous profit-producing subsidiaries. Work in these supra-operational HQ bodies is very distant from the activities being directed. Policy-making involves developing and promoting new feasible values and ideas to strengthen subsidiary operation, and to express the desired identity of the enterprise. A manager moving up to HQ from a subsidiary enters a world of paper, because the work there is about articulating, debating, analysing and communicating ideas and their practical and financial implications. Of course, policy-making may be noticeable chiefly by its absence, as in one HQ agency (budget: £1.5 billion) whose management we audited. Here under the label of 'policy' were numerous operating targets, service analyses, financial projections, action plans, codes of practice, rules and procedures: none of which dealt with the immediate problematic issues facing the conglomerate.

Policy-making is best carried out when the topic is well understood, clearly defined and well-structured. Poorly understood or ill-structured issues may require preliminary work before the policy process can be entered, and the resulting policy may still carry con- siderable uncertainty and risk.

Pressures. Policy formulation depends firstly on appreciating the issue and the way it relates to desired outcomes. So the pressure for satisfactory results is the inherent shaper of policy. As emphasized above, this calls for deep immersion in the topic and the realities, supplemented by targeted analysis and investigation. It invariably implies a sensible statement about resources which is acceptable to all involved. Unfortunately, managers and politicians alike share an urge to choose what is acceptable to those on whom they depend — whatever the consequences. As a result, when con- troversy develops, decisive action tends to be avoided because it is liable to offend. Often a financial solution is sought when the real resources to be allocated are people's time and attention. Policy-making is about gripping political issues, not throwing money at prob- lems. It is about tackling problems not avoiding them.

It is about recognizing and responding to differences of opinion, not suppressing them. An issue is gripped when a policy is devised which fits the situation and which is generally recognized as resolving uncertainty and controversy by those people expected to imple- ment it willingly.

So the second source of pressure, rationally extra- neous but crucial in practice, comes from the values of those most involved. Often conflicting positions are evident and factions may form. Factional views may seem irrational and self-serving, but they must still be taken into account when formulating policy. From a pragmatic viewpoint, the people involved can block action or retaliate if they are ignored; and, from a rational viewpoint, it is rare that their perspective does not have some validity.

The policy conclusions and the ideas and judgements on which they are based must be articulated and com- municated in a fashion which is logical, clear and compelling. To achieve this, policies should generally be presented separately to the background data or results of investigations (which may be voluminous). The exact wording of policy documents needs to take account of factional sensitivities so as to maximize the likelihood of their joint acceptance of the final result, and it needs to specify precisely what is to be done without fudging. So the phrasing, though necessarily tactful, must be precise and unambiguous, avoiding the tendency to be either over-pedantic or wishy-washy. Policies also need to make provision for monitoring and progressive evaluation. The final policy statement should be pertinent, understandable and memorable. Those who must follow the policy should experience it as helpful.

It is useful to distinguish the priority element from the strategic element, because the latter must be appro- priately adapted to circumstances. Policy evolution is a process in which strategic objectives are altered. If the priorities alter, then this is effectively an about turn: a policy reversal. For example, a government may see reduction of inflation as the top priority in managing the economy. It should be expected to adopt different ways of reducing inflation according to circumstances without calling these modifications a reversal of policy. By contrast, if it accedes to social pressures to allow inflation (say, to reduce unemployment), then eco- nomic policy has indeed been overturned.

Social Process. Because all priorities related to a policy are inherently valid, they need to be taken account of in some fashion in the formulation of the strategic objective(s). A strategic objective is itself exclusive — you get the choice you want or you do not. Nevertheless, by supporting the main objective with subsidiary or complementary strategic objectives, it is

usually possible to be satisfied that all legitimate pressures have been met. The point is that policy-making, like all direction-setting work, should be designed as an integrative exercise and must specifically foster the inclination to cooperate.

When it seems to those involved that priorities are absolutely contradictory — say safety vs cost, or productivity vs training, or low inflation vs low unemployment — then the organization (or government) has got itself into a self-damaging state of mind. Each faction in over-asserting its own view attacks or rejects the other view in an escalating and self-defeating ritual. The attacks are self-defeating because the reality is that both values are absolutely essential to the well-being of the whole. Because policies and the policy process should explicitly recognize all valid priorities, they are essential for breaking such vicious circles. Many so-called culture-change projects in firms are not about introducing new values at all, but about helping top management grip unresolved issues, break vicious circles, and develop the necessary policies which recognize the well-established values of all concerned.[11]

Even the best policies (in rational terms) succeed or fail in accord with the effectiveness of the social process which produces and introduces them. Those with an authoritarian bent who try to concentrate minds solely on results find it difficult to accept that suppressing debate actually impedes short-term and long-term success. There are two key requirements of the social process. First, whoever leads the process must be legitimated to do so or be acting in role. Second, the policy must be evolved so as to feel essential and meaningful to those who must implement it. Policies respond to issues which absolutely need to be gripped. They are not mechanical products developed because 'everyone has them', or according to some pre-defined theory or procedure. What constitutes proper handling, timing and involvement will depend greatly on the setting and the particular issue being gripped.

Some generalizations can still be offered. The sensible development and genuine acceptance of any policy depends on generating dialogue amongst the people to be directed and coordinated. The situation is uncertain, emotional and difficult, by definition. So realistic acceptable policy can only be generated and implemented if there is debate and consultation. This takes time. Instant policy-making may, however, be required as a temporary or interim measure.

Debate should take place in small groups, preferably of around three to five people, but sometimes a few more. For major policy in an organization, the dialogue needs to involve governors and relevant top executives. Internal policies for divisions and departments demand dialogue between superior and subordinate managers, key external figures, and even the section as a whole (if small). In such small groups, details can be clarified, different value assumptions or biases can be openly aired, and fears can be identified and reduced. This is an emotional process, and the discussion has the quality of an intense conversation in which all have right on their side. As beliefs and feelings are aired, inquiry is needed to supplement and balance advocacy. The group can then move to a consensus on what the issues really are and on the main criteria for resolving these. It usually becomes evident that there are a variety of options for moving forward (i.e. strategic objectives). If the problem is very well understood, then a dominant or best option, usually a set of related objectives, often emerges.

Any significant policy typically ramifies far wider than the small group which determines its shape and likely outcome. So the debate on the issues and options must be opened out. Once a degree of clarification has been achieved in the small group, potential disagreements, objections and misunderstandings by others need to be handled carefully through extensive advance consultation. Everyone or every group potentially affected or with a legitimate interest should be sent draft policy proposals and invited to comment. In the process of debate and consultation, the initial formulations usually need some changes. If none at all occur, it is likely that the consultation was a sham. Extensive changes may entail further general consultation.

Higher level directions must be introduced or installed in a complex process, but policies (and plans) can be implemented in a relatively straightforward way. In the process of implementation, the policy may be distorted or ignored, or new issues may emerge. It is therefore not uncommon to retain a small steering group with a specific policy-control remit.

Difficulties. The social process can go wrong so easily and in so many ways. Governments, for example, have been known to publish policy-related inquiries, consultative documents or responses to consultations at times when the media interest is elsewhere so as to avoid debate and scrutiny. Top managers have been known to insist on tabling never-before-seen bulky documents at a meeting where agreement must be finalized.

But in such cases the policy was at least approached. If the issue is too hot, then there is a tendency to avoid it altogether. An organization may be progressively losing market-share. But tackling this problem may involve choices which cause staff unrest, or which mean writing off a large investment, or which make many senior managers redundant — while still being risky. It is certainly easier, and often feels safer, to make only minor adjustments. Firms will collapse or be taken over

if they do not face issues, but governments with the support of their electorate can avoid issues for years with no other effect than inflicting long-term damage on their country. (Examples are too numerous to need citing.)

Companies commonly have policies in some areas but not in others, with the presence of policy depending more on tradition and management ideology than need. The absence of policy where it is required impedes achievement, lets conflict fester, and dissipates energies. Because businesses often evolve pragmatically and managers avoid working on policy, the notion of 'implicit policy' has been introduced.[12] But an implicit policy, worked out by looking retrospectively at achievement, is a contradiction in terms because it cannot direct or coordinate.

In the public sector, it seems so easy to withdraw from controversy or to use bureaucratic excuses and official powers as a defence in the face of challenge. But avoiding issues tends to increase suspicion and the organization risks being torn apart as controversy intensifies. In one hospital, discharge of well but frail and poor elderly patients became an issue. Relatives complained and staff felt unsure what to do for the best. The situation worsened as the media criticism intensified. The political issue that required handling was whether or not a hospital should keep patients in beds solely on economic grounds (and if not what should be done for such patients). As soon as the issue was directly and openly addressed and an acceptable policy instituted, the public criticism and complaints melted away.[13]

Limitation. Even where policies are satisfactorily constructed and introduced, they may not get implemented. One chairman of a public sector authority confided to me that in 14 years of policy-making not a single policy had been followed up to see whether anything had happened. Those who perceive themselves as suffering through a policy, or having their habitual inertia or free-wheeling autonomy disturbed, may be reluctant to support any policy at all, and certainly not in a wholehearted way. So policies alone are not enough. If policies are to be followed through, a more concrete and controlling action-related direction is essential. As every manager knows, policies suddenly become very real when detailed plans with schedules and targets are required.

G-2[1]: Plans

Nature. Plans are devised to direct the details of activity very precisely. Bold strategic objectives (L-2) are insufficient on their own because they give no indication of exactly how they are to be delivered. So-called action-plans, which are no more than lists of tactical objectives (L-1), leave open the question of where this action should be leading. Combining the two types of objective overcomes the limitation of each.

A plan must be anchored by an unambiguous and unchanging strategic objective and should contain time-targeted tactical objectives which can be modified sensibly in accord with evolving circumstances and unexpected events. A challenging strategic objective often requires specification of a strategy, a set of strategic sub-objectives which together are expected to produced the desired end result. Each of these sub-objectives would, of course, require their own tactical objectives; so multiple plans are usually produced. The *function* of a plan is to organize essential tasks and resource use in a time schedule.

If the plans are developed in the context of an agreed mission and an up-to-date policy by people operating within an agreed role, then the results of following them can be expected to be of value. (Of course, if plans take many months or years to be developed — something not unknown in government-related work — then the strategic objective may become outdated before the planning process is completed.)

Plans are the final generators of things of tangible value i.e. goods or services. Plans simultaneously direct the use of people, space, equipment, time and money, so they are consumers of tangible value i.e. resources. Plans seek to coordinate specific work processes and to constrain people so that output value is greater than input value: in other words, so there is 'value for money'.

Much can be achieved without specifying a plan. However, when the strategic objective calls for a multiplicity of diverse interacting tasks affecting a variety of people at different places and times, it is always uncertain how results can be most efficiently produced. In such cases, some form of detailed planning is usually held to be essential. Any complex project, like the introduction of information systems into a business, for example, invariably requires a planning method of some sort. In the absence of plans, completion of such projects is endlessly delayed, the end result fails to satisfy because circumstances have changed, and gross inefficiencies are generated.

Although plans are valued, plans are not themselves value-packed documents. The tasks and schedules that fill plans are the final pathway of value. Plans seek to constrain people so that values determined and resolved at higher levels will be concretely realized. In other words, they are built on the importance of ensuring that values are effectively translated into action. Plans also seek to prevent tangible or concrete value —

resource — from being wasted. Failure and waste are so easy during implementation if there is a loss of focus on precise details in reality. The progress and outcomes of plans are typically evaluated in terms of the policies which gave rise to them, or (in the absence of policies) in terms of known priorities. If planning takes place in the absence of policies or clear priorities, it is likely or at least possible that tactical objectives, being chosen expediently, will actually violate some desired values.

Another problem emerging when strategic objectives have been decided without policy-work is disruptive disagreement during the planning process. For example, an exercise to plan certain building services in a firm collapsed because different departments were unable to agree about the handling of subcontractors. In the social arena, where planning requires that a multiplicity of public and voluntary agencies should cooperate, political differences make joint achievement extraordinarily difficult. A common fall-back is for planning to focus on numerous small and relatively unconnected projects, each of which seems a good thing to all involved.

Pressures. A plan specifies precisely such things as what is to be done, who is to do it, when things are to be started or completed, which resources are to be used, and what methods are to be employed. So plans are often compendious documents. Flow charts, critical path analyses, time-tables and similar schemas may help bring elements of the plan sharply into focus. The pressure constraining any plan derives from the basic logic of activities: e.g. some things must be completed before others can be started. The pressure for logic is complemented by a pressure produced by circumstances. Plans have to be shaped to fit things like delivery times, staff availability, and the release of finance.

The quality of a plan depends on the validity of both the ideas and the information used to develop it (the logic), and on an appreciation of the circumstances and potentially interfering factors. This means that, ideally, the project must be clearly defined, well-understood, well-structured and developed within a stable environment. Giant projects with political and technological uncertainties require a more fluid planning process than simpler projects. Some things, like theoretical research or creative musical composition, defy explicit planning because personal factors and imaginative processes inherent in the work process are difficult (if not impossible) to define or predict.

Plans frequently require alterations in the specification, ordering or scheduling of tactical objectives as unforeseen obstacles emerge. Such plan changes are to be expected as the project evolves. If, however, the strategic objective changes, then this is more disconcerting to those involved and represents a radical shift even if many of the plan's tactical objectives remain as previously agreed.

Social Process. Planning requires clarity about the facts of the matter in hand. An adequate understanding of the situation and work processes is also essential. So, whereas policy may sometimes be a matter for boards or top managers away from the scene of the action, plans must be developed by those wholly familiar with the realities. If the issue is complex enough to require a planning document, it is usually necessary for the key people to discuss the plan in meetings and to sanction it jointly. The use of teamwork creates a suitable positive atmosphere which allows agreement on the necessary compromises and adaptations essential to the determination of detailed specifications. Everyone in the team must have access to the details, understand their tasks, and appreciate how the parts of the plan fit together. For those more peripherally involved, or subordinates in organizations, planning implies that they will accept instruction.

Plans must be produced in a fashion which is logical, specific, explicit and unambiguous. Project management software may be used to ensure that complex plans are properly organized, represented and reviewed. Plans, unlike policies, do not need to be known in detail by everyone involved.

Disagreements and objections to the details of any plan must be handled if the plan is to win assent. Such problems are typically rational or empirical in nature: one person arguing that there is insufficient space, another concerned that staff need more training to play their part, and so on. Analysis and investigation of such problems are needed to clarify how genuine and serious they are. Once a problem is appreciated, team members feel committed to solving it sensibly. If the problem is insoluble, or demands more resource than has been allocated, then a review of the strategic objective, even perhaps the policy, is called for.

Plans require more regular and more detailed monitoring than policies, and should be fine-tuned and adapted as implementation proceeds. When projects are very complicated, plan control may require an implementation group as well as a steering group. The steering group, as noted earlier, is a policy body which sanctions the plan, ensures it conforms with policy, reviews priorities regularly, checks achievement, and deals with plan-specific sensitive issues as they arise. The implementation group works out the action details, oversees or carries out implementation, monitors attainment of milestones, investigates serious obstacles and reports to the steering group.

Difficulties. Plans in organizations are primarily developed to control projects which must come in on time and to budget. The detailed work of producing plans is often allocated to staff officers — assistants who are not responsible for operations but organize specific projects within them and coordinate their implementation. Not surprisingly, there is a natural conflict between the rationalist spirit of any plan and the everyday urgency, crises and obstacles of implementation in the midst of an ongoing operation. One consequence is that optimism pervades plans and impossible time schedules are agreed. The social element of plans is often minimized: the time to explain and train people, for example, is often underestimated.

When strategic objectives cross departmental boundaries (as they often do), plans are most needed and yet most difficult to develop and implement. Pragmatic managers feel that there is not enough time for careful detailed planning. They are also prone to agree to objectives in planning meetings (to keep the peace) but then get on with their own agenda and forget or ignore agreements. The neglect of participative team-work increases the likelihood of such an outcome.

Every manager uses plans to a greater or lesser degree. The idea that plans are a matter for headquarters or specialist planners only is a mistake. HQ plans in large corporations are usually forecasts or about growth (G-4^2) rather than simple plans as defined here.

Basic planning (as opposed to forecasting or the strategic development of the whole organization) is fundamental to the control of activity. But production of plans may become an end in itself to satisfy higher management.

Executives may submit plans to governing boards, higher agencies or government departments as a condition of obtaining funds, or to prove they are on line to hitting productivity targets. Here the disconnection of planning from management reality reaches its zenith. Vast documents are produced primarily aiming to get money, or to soothe headquarters bureaucrats. Once money is obtained, its use may have little connection with the plans which supposedly justified it.

Closure. With the production of plans, we have reached the most detailed and concrete constraint on activities in the service of values. Tasks and resources are controlled precisely to produce worthwhile achievement effectively. No further value-based constraint on activity is intuitively necessary or logically possible.

REVIEWING DIRECTION

The six ways to provide direction have now been elaborated. Convictions provide an inner core of unshakeable values that enable us to maintain our ideas, obligations and loyalties whatever the external situation. Approaches remind us of our beliefs and loyalties while orienting us in communal domains outside their sphere of dominance. Missions ensure that each of us and our co-workers thrive on our activities. Roles clarify our responsibilities at work and direct us in dealing with others with whom we must cooperate and jointly achieve. Policies determine an outcome to which we can all work while maintaining our autonomy in a reasonable fashion. Plans tighten coordination still further, now in real time, and ensure that everyone knows precisely what they should be doing, that obstacles are overcome, and that waste is minimized. All these directions will work effectively only if the social processes whereby our agreement is gained and our objections dealt with are well-handled. Of course the content of any direction must be satisfactory as well, resolving the relevant uncertainties and recognizing the distinctive inherent pressures.

Practical Implications. The directions are ubiquitous. So is their mishandling. Their practical significance has been repeatedly emphasized throughout, and many mistakes in their development and use have been described. The emerging implication seems to be that there is an urgent need for people to have a far more solid understanding of the nature and use of directions. This understanding and its proper use depends above all on absolute clarity about the nature of the underlying purposes which constitute the directions. Of all the directions, the least attention seems to be given to convictions and approaches. This accords with the confusion about values and about what working with values entails that is rife in both societies and organizations.

In devising a direction, it is essential to penetrate to the key issue(s) that cause concern and require a sensitive response. Recognizing the issue(s) is a matter of will and intuition which build on knowledge and analysis. The account of the directions probably sounded more rational and organized than they need be in practice. Yet it is almost always desirable for the direction to be systematically developed and properly structured. Directions do need to be defined as a reaction to circumstances and there may not be the time to be systematic or to adhere to the full social process. Even convictions may need to shift with bewildering rapidity. But responsiveness may be no more than an excuse: sudden changes in direction can far too often be traced

to a lack of discipline, insensitivity, mental laziness or inexcusable ignorance.

Where different people or bodies have a distinct responsibility for adjacent purposes, then the dyadic nature of the directions implies the need for joint work to agree on a direction. For example, in developing effective approaches to any social problem, like eco-logical damage, community leaders need to debate and discuss with church leaders, social scientists, elites of the green movement, and others who can bring different value systems to bear. Similarly, in govern-mental organizations which sharply distinguish political and management spheres, policy development requires joint work between governors or politicians and top officials. This type of joint work is of particular signifi-cance when it comes to introducing new values.

An important assumption in using directions is the pre-existence and pre-acceptance of the relevant values. Governments and top managers in firms often seem to fail to recognize that the values they wish to apply are not, in fact, widely understood and accepted. They then attempt to use directions to produce change without recognizing that these tools are not designed to introduce values, but only to channel the use of currently held values. This is the reason why most computerization projects foundered in the early days, and the reason why many quality (TQM) programmes grind to a halt today.

Decision Approaches. Stating a direction is decisive. It both releases and constrains action. Else-where, I have summarized seven distinct approaches to decision and action, (cf. Master-Table 8 and Notes [63,64] in Ch. 6). Any decision method may be used, but specific links seem apparent when uncertainty escalates.

Convictions ought to be developed in accord with one's role and responsibilities. This is why people — the classic example is Thomas á Beckett — often change unexpectedly when taking on a new social role. So the decision approach of last resort is **structural-ist**, based in legitimate authority and the importance of autonomy.

Approaches must deal with the marked discrepancy, even antagonism, between the ideas of the few and the shared values of the many. Intense anxieties and emo-tions may be stirred up, and an intuitive and sensitive way of reconciling the pressures is then needed. So the decision approach of last resort is **imaginist**, based on using imagination and developing commitment.

A satisfactory *mission* must be generated by identify-ing overarching values and objectives which everyone finds they share or wishes to share in whatever they do.

So the decision approach of last resort is **rationalist**, based on shared values and achievable objectives.

Roles must be defined which allow people with different perspectives and responsibilities to work together irrespective of any particular outcome or what precisely needs to be done. So the decision approach of last resort is **dialectical**, based on resolving disputes through compromises.

Policies can be set in many ways; but the pressure for results and the need for cooperation mean that its generation must be guided by expedience and accept-ability. So the decision approach of last resort is **oppor-tunist**, based on ensuring certain easy achievement.

Issues that arise during the production of *plans* are essentially practical and they must be resolved through determination and clarification of the facts. More information will indicate a solution if uncertainty develops. So the decision approach of last resort is **empiricist**, based on reliable valid facts.

The **systemicist** approach is the seventh decision mode and is perhaps reserved for the overview — deciding which type of direction will provide maximum leverage. Alternatively, it seems powerfully applicable to all the directions.

Linkages. Except for plans and convictions, all directions overlap with directions below and above and share both of their levels of purpose (see Fig. 10.2). All directions focus minds and shape outcomes, but plans and convictions represent opposite poles of focusing and shaping. A plan focuses the mind externally and demands that people serve the situation. A conviction focuses the mind internally and demands that situations serve people. The remaining four forms of direction lie between these planes of utter interior abstraction and external tangible reality, between controlling and being controlled.

Because each type of direction responds to higher types and channels lower types, it follows that different directions can support each other. Although any type of direction can be used alone, directions tend to be more effective in practice if they are implemented with linkage in mind. Roles and policies, for example, are linked through priorities. On the one hand, the priorities can only be fulfilled if policies are developed; and, on the other hand, the role must be designed with a recog-nition that those priorities need addressing. Roles provide the frame and legitimation for generating policies, so role clarity and fulfilment are almost pre-requisites for effective policy-making. In the same way, roles themselves are dependent on the mission for their energetic support, and policies are dependent on plans for their conversion into action. So failure of direction-

setting at one level can completely stop progress. Planning blight, for example, is a recognized problem in government agencies where policy-making is poor and time-consuming. Managers put a halt on their own improvements until the new policies which might potentially cut across their plans are made available.

Transition. Controlling every action so as to be absolutely sure that all desired values are being applied at all times is impractical and, if attempted, counter-productive. The very idea offends against our conception of a person as autonomous. A considerable degree of inner control is provided by the inner sense of responsibility associated with elemental purposes (if these are taken seriously). But that control is not sufficiently tightly connected with specific activities. We have now seen that further control can be provided by using direction. This only works if the values in the direction are self-consciously held by the recipient(s). If they are, the direction can sometimes be left implicit or agreed verbally without documentation. If they are not, however well thought out and positively promulgated, the direction will probably have little effect.

All too often, directions which are used to introduce or assert values have a negative effect. Whatever the type, they generate opposition because a mixture of inertia and pre-existing personal conviction influences the disposition to be guided and constrained. When a proposed value is weak or lacking in a person or organization, any direction is liable to be ignored or to receive a hostile response. Of all the directions, only plans really lend themselves to coercive measures, and even then deliberate or unconscious subversion or sabotage is possible.

Resistance is especially intense if the direction seeks to modify ethical rules. Guns have paradoxically come to symbolize freedom and safety in the USA, so directions aiming to control guns founder on convictions. Meeting the needs of patients requires the reworking of professional maxims, so directions aimed to give greater weight to patient preferences and experiences are viewed sceptically by doctors.

Sometimes the new value is not specifically rejected, but nor is it currently recognized and held. In such cases, recipients may be willing to be directed but they invariably become confused about why the direction is needed and what the direction is really about. The point is that *a person's mind cannot be focused and outcomes cannot be shaped by values which are internally rejected, minimized or unrecognized*.

Because of the ethical aspiration and emotional need for continuity (L'-2: Ch. 6), it feels right to people to oppose and resist directions incorporating new values. Still, even though continuity is a good in itself, no society or organization is perfect and the values preserved by continuity invariably include organizational or social ills. Of course, there may be dispute about what those ills are, because what is viewed as bad or harmful by one may be regarded as necessary and good by another.

Changing back to the way things were or moving forward: either path is fraught with difficulties. In the face of confusion and intense controversy, there is the need for a forceful and yet politically sensitive way of promoting change. The tools for asserting and installing particular values are provided by combining the levels of purpose in threes — and developing a drive.

Master-Table 32

Properties of the six types of direction.

Directions ensure that activity is constrained by chosen values. Each type is a dyad formed by combining two adjacent types of purpose. They assume certain values are held and mediate their pressures in practice as well as dealing with crucial uncertainties affecting activity. See text for details and explanation.

Dyad No. (Levels)	Type of Direction	Function	Pressures determining Content	Uncertainty to be Resolved	Specification is especially Needed:	Social Process Gaining Agreement Handling Objections	Some Consequences of Mishandling
6 (Ls 7 & 6)	Conviction	To stabilize a person's ethical stance in changing circumstances.	From experience & For socialization	How can activities accord with one's deepest values?	When explicitly working with values.	Meditation & Reflection	•Personal demoralization •Organizations lose vitality •Corruption develops •Dogmatism thrives
5 (Ls 6 & 5)	Approach	To ensure adherents' correct participation in a community setting.	From the orthodoxy & For social integration	How can activities promote the orthodox view?	When dealing with new or complex social issues.	Exhortation & Education	•Group loses cohesion •The domain malfunctions •Social debate is weakened •Zeal becomes disruptive
4 (Ls 5 & 4)	Mission	To unify participants' wholehearted efforts in an endeavour.	From popular demands & For a distinct identity	How can activities gain general social support?	When integrating a large complex organization.	Involvement & Inclusion or Exclusion	•Social antagonism grows •Efforts are diffused •Organization is hijacked •The enterprise splits
3 (Ls 4 & 3)	Role	To identify a part's current contribution to the performance of a whole.	From functions & For relationships	How can activities interact with synergy?	When expectations of individuals in a system are not clear.	Networking & Negotiation	•Conflict is institutionalised •Cooperation is neglected •People get confused •Work fails to get done
2 (Ls 3 & 2)	Policy	To coordinate leaders' independent decisions in a problematic situation.	From factions & For results	How can activities address the issues given the resources?	When controversy exists about what to aim for.	Debate & Consultation	•Controversy intensifies •Efforts are fragmented •Vicious circles develop •Issues are avoided
1 (Ls 2 & 1)	Plan	To organize essential tasks and resource use in a time schedule.	From circumstances & For logic	How can activities produce results efficiently?	When implementation is long and complicated.	Teamwork & Analysis	•Resources are wasted •Results are patchy •Delays and dissatisfaction •Disconnection from action

G-3: DRIVE

Nature. Making a value feature in any situation is difficult. Everyday experience reveals that telling people to use certain values is futile unless they already hold them — and even then acting on a value does not automatically follow from holding it. Directions take for granted that the values explicit or implicit within them will be accepted: but sometimes the values are not recognized or are unequivocally rejected. When values in a direction are not well-established, the direction — be it a conviction, approach, mission, role, policy or plan — is bitterly challenged and, if enforced, may be neglected, pursued half-heartedly, or even sabotaged. If contested or neglected or new values are to find their way into directions and purposeful activities, then something more powerful than a direction is required. This something is a **drive**.

Drives aim explicitly at promoting change by installing values. They carry more emotional and social weight than directions, which means that they can be affirmed and justified more forcibly.

When a particular value is being emphasized in a drive to introduce something new, there are always perfectly valid alternative values which could have been emphasized instead. Top of the list, usually, is an emphasis on values inherent in the status quo. Whatever these values are, our analysis of conventionalist choice (in L'-2: Ch. 6) has revealed that ensuring their continuity is itself an enduring obligation. There is also the need to handle those with a more tangible stake in the status quo — usually labelled as 'vested interests'. The existence of natural conservatism, vested interests and genuine alternatives means that the social process associated with any value-based drive is overtly *political*. It also means that complete support for a drive, even a seemingly urgent and necessary one, is never found.

'Sixty years of progress without change': the slogan attributed to King Fahd of Saudi Arabia reveals that even the most conservative of societies evolve. Such an achievement requires values to be constantly reasserted, though possibly in a somewhat revised form as circumstances change. So drives may be used to maintain continuity against the threat of change; or to overcome the obstacle of continuity in order to engender something new. Either way, drives must counter and overcome opposition. Drives promote deliberate change and are seen as forward-looking if countering stagnation and backward-looking if fighting social evolution.

To engage with change, a drive must energize people. It needs to stimulate thinking about values in general and provoke action in the service of particular values. Drives emerge from the triads, combinations of three adjacent levels of purpose. Values in the third level become the focus of controversy and their choice expresses and resolves the political implications of the drive. The *function* of a drive is to ensure that certain desired values are installed despite resistances.

Those in leadership positions within society and in large organizations are preoccupied with finding ways to introduce new values or revitalize existing values. Leaders recognize that certain values will not only change the way things are, but control people in the service of what the leadership judges to be good. Controlling values is far more effective than controlling activities or controlling people. If a new value is successfully installed, then the value system and the identity of the group as a whole has been modified. People are then controlled from within. Such an ambitious aim depends on understanding and skilfully applying the various components of a drive.

Types. There are five triads which define the five components of a drive. In descending order, these drive components are labelled: *ideals* (G-3^5); *crusades* (G-3^4); *campaigns* (G-3^3); *initiatives* (G-3^2); and *directives* (G-3^1). Each of these may be defined separately and viewed as a type of drive. Descending, the groups reflect a progressively more tangible, direct and time-defined impetus to the introduction of values. Ideals and crusades, the upper triads, produce or sustain desired values; campaigns, the middle triad, generate an immediate focus on recognized and desired values; and initiatives and directives, the lower triads, ensure that blocked but otherwise accepted and desired values produce tangible results.

Each drive component has a similar internal structure. The lowest level contains those purposes which define what is to be sustained or produced. Purposes specified here must be *appropriately adapted* to the situation. Purposes at the middle level direct the change and should be defined so as to ensure the effectiveness and success of the drive component. Purposes specified here are strategic and so must seek to *maximize impact* in the situation. The topmost level is invariably a level of value and any value chosen becomes a focus of controversy. So the values which are specified here need to reflect and harness *political support* for the drive.

The triads are represented diagrammatically in Figure 10.3, and the main properties of the five types of drive are summarized in Master-Table 33. Before describing the drive components in more detail, each is summarized below in terms of their effect on people, their constituent levels, their function, and their social operation.

Figure 10.3: **The triadic grouping which defines drives.**
Five components of drive enabling change to be promoted politically.
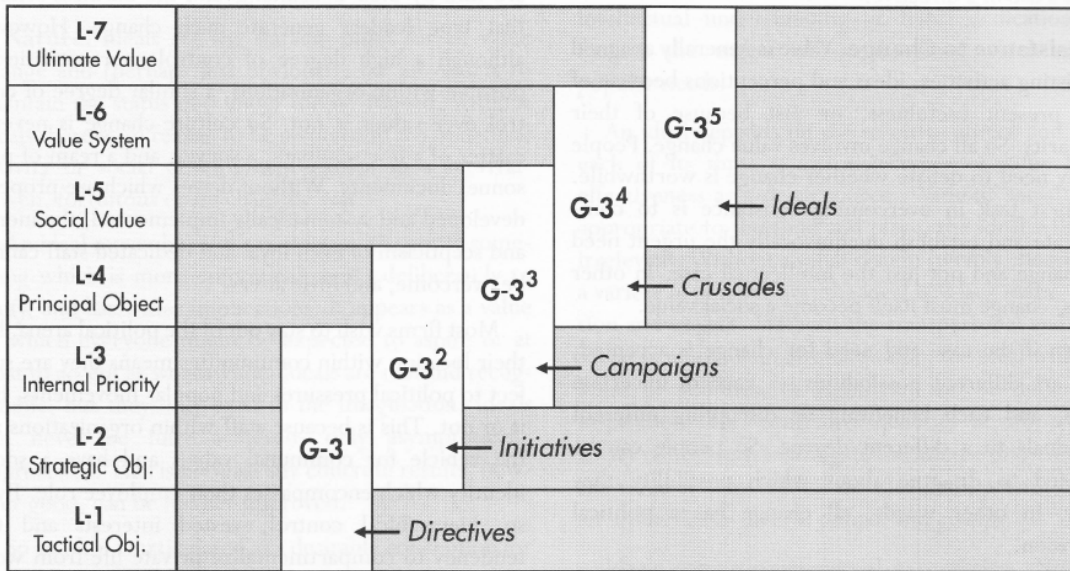
G-3⁵: Ideals encourage people to persevere with the drive and the lower level components despite all obstacles and set-backs. Ideals are formed by combining one or two ultimate values (L-7), with value systems (L-6) and social values (L-5). Their function is to commit people, either within a group or across many groups, to desired values despite any differences they might have. They are the conceptual basis of personally held aspirations, and the source of optimism for the future. Ideals must be built on a potential for change (cf. the pragmatist duality, L'-3, in Ch. 6). Realists who foresee change recognize the need for ideals; and effective idealists (not the starry-eyed variety) see themselves as realists. Ideals emerge as the driving power of social movements. They are explained to those in the movement and to wider society by its elites.

G-3⁴: Crusades harness the energies and loyalties of people enduringly. They are determined by the combination of a value system (L-6), social values (L-5) and principal objects (L-4). Their function is to convert people to ideas of potential social benefit. These ideas are initially perceived as values which are sectional, theoretical or tribal in nature. An area of social concern or 'cause' sparks off and sustains the crusade. Crusades are pursued through an agenda for reform (or manifesto) which sets out desired practical achievements which, if realized, would signify the reorientation of the relevant group or wider society. Crusades need champions to emerge from amongst those people who are identified with the cause.

G-3³: Campaigns activate people temporarily to express a preference and make a particular choice in one way rather than in another. Campaigns are dependent on the linking of social values (L-5), principal objects (L-4) and internal priorities (L-3). Their function is to persuade people to act on their dormant values, values which they know they hold in common with others. This group of people, who may form either part or the whole of a community, are the constituency of the campaign. Campaigners depend on spontaneous support from their constituency, and the constituency needs campaigners to bring to their attention an opportunity to assert its values. To capture attention, campaigns are typically based around pithy and memorable slogans which epitomize the value or needed choice.

G-3²: Initiatives engage people over a defined time to achieve worthwhile results. They do so by specifying principal objects (L-4), internal priorities (L-3) and strategic objectives (L-2). Initiatives generate activities which forward given and non-controversial but neglected values. Initiatives should contain costed proposals which meet gaps in current activities. So they are the property of organizations, and are best devised with the help of experts.

G-3¹: Directives control people immediately in a crisis situation. They do so by containing internal priorities (L-3), strategic objectives (L-2) and tactical objectives (L-1). Directives produce specific action when there is an intractable value conflict. Directives are embodied as a compulsory decree (authoritative instruction or prescriptive ruling) and are pushed through by the leadership against all opposition. They

are used in objectively dangerous situations in which an impasse exists or is imminent. This crisis sanctions the leader's use of a directive.

Resistance to Change. Value is generally assigned to existing activities, ideas and perceptions because of their present usefulness, or just because of their familiarity. So all change involves value change. People usually need to debate whether change is worthwhile. The first task in overcoming resistance is to communicate and establish unequivocally the urgent need for change and not just the intellectual case. In other words, change must itself become a social value.

Even if the case and need for change is accepted, there are different possibilities — each of uncertain worth, and each benefiting or disrupting different individuals to a different degree. So people can be expected to disagree about which possibility they prefer. In other words, all change has a political dimension.

Getting regular exercise, using computers, recruiting women to senior posts, conserving energy, developing customer responsiveness, allocating money for research, lowering trade barriers, healthy eating — all such apparently desirable things turn out to be extremely difficult to implement in organizations and society. Getting change is difficult because of the value component — the politics — not because of the skill requirements, the costs, or the technical complexities. To succeed in producing change, the support and understanding of the people involved must be actively won.

Directions control implementation and constrain people in a rather rational way. But we cannot operate efficiently or effectively as automata, mechanically doing whatever we are instructed just because someone else (or even a logical part of ourselves) regards it as obviously good or necessary. Values must resonate within us before instructions about what is good or needed make any sense at all. In the case of new values, we have to engage with them, usually against our inclination. Drives exist to encourage and even force that engagement. As a result, drives surround us. Politicians, public agencies, pressure groups and leaders of every conceivable type are constantly seeking to defend and alter values.

And we, both as individual people and as organizations, are often eager to improve ourselves. So we mount our own internal drives to change the way we think and act. Often the values in these drives harmonize with social fads and communal pressures, but at other times they run counter to them.

In the management literature, the prevalence of dysfunctional values is a source of increasing concern.

The need to alter values comprehensively currently goes under the banner of culture-change.[14] Managers are told by their consultants and the business schools that true leaders generate such change. However, although a high degree of control over activities is possible within organizations, a similar degree of control over values is not. So culture-change is never a matter of a few seminars, a survey, and a ream of personnel documents. Without drives which are properly developed and systematically implemented, the inertia and scepticism of even loyal and dedicated staff cannot be overcome, and little alters.

Most firms wish to stay out of the political arena, but their location within communities means they are subject to political pressures and popular movements, like it or not. This is because staff within organizations are the vehicle for communal values and have a social identity which encompasses their employee role. Even so, hierarchical control, vested interests and the tendency to compartmentalize private life from work life mean that new values in society do not cross organizational boundaries easily. Organizations in monopolistic positions, whether public or private, are especially resistant to altering their attitudes and practices.

Properties. The five drive components have many similarities. They are all assertive in nature, have an emotional core, and cannot be accepted on a purely rational basis. So all are likely to be opposed, resisted, flouted, by-passed, distorted, subverted, ignored or rejected. Being based in values and change, drives generally stimulate their opponents to brand them as meaningless, wrong, bad, futile, wasteful, harmful, hurtful, dangerous, negative or evil. Despite similarities, there are many differences between the various components. The *nature*, *function* and *use* of each are characteristic. In the summary, we saw that each has a different effect on people and a characteristic time-relation. The *content* of the drive component is determined by the distinctive types (i.e. levels) of purpose which constitute it. There is a different *locus of responsibility* for articulating and pursuing each component, which takes the form of a collectivity of some sort together with a typical role. Drives can fail if the triadic components are poorly constructed and handled, and this *failure* has characteristic consequences. Each component inherently lends itself to a distinctive form of *criticism*.

Starting from the highest, the five drive components will now be taken in turn and examined, with examples, in terms of the italicized properties. The *limitations* of each will clarify the necessity for the more focused and tangible form or component of drive defined by the

group below.

G-3⁵: Ideals

Nature. Ideals are the starting point for all value change and (perhaps less obviously) for all efforts to maintain the status quo under threat. Indeed, without ideals there is no reason to be involved in any beneficial activity or social development except in a survival-driven, fortuitous or mechanistic way.

An ideal moves beyond a conviction to specify something which is more communal, seeks deliberately to unify, and has wider implications. It appears as a value to which everyone might be expected to aspire or at least to accept as worthwhile. Ideals are real and recognizable, but they only exist in the imagination. Ideals can never be fully achieved, only asymptotically approached. This is because any concrete results, however good, can be further improved.

So an ideal is articulated as a desirable conception for diverse people to identify with, aspire to, believe in, and hope for. Ideals have the quality of metaphors which resonate deeply within people. They can be widely shared because they allow for many shades of interpretation, opinion and emphasis. The *function* of an ideal is to commit people to the establishment of certain desired values, despite their differences. For example, ideals like peaceful coexistence, the welfare state, a just society, efficient management, customer-responsiveness, an information culture, a liberal education, or healthy eating can persist even though they mean different things to different people at different times.

Ideals have practical *uses* which is why they must be devised in a hard-headed way and not be viewed as a utopian longing. Ideals should be the recurrent and long-lasting reference point for all attempts to maintain a value-drive within enterprises and popular movements. Any crusade, campaign, initiative or directive which cannot be justified easily in terms of a recognizable ideal soon finds it lacks supporters, and even its beneficiaries may view the drive as irrelevant or undesirable. Above all, the ideal must encourage people to persist and persevere, to tolerate delays and difficulties, and to overcome obstacles.

Content. To activate and yet unify people, an ideal must incorporate needs recognized by individuals and the community, ideas which offer an appealing basis for change, and values universally sought. In other words, ideals are rooted in particular ultimate values (L-7) which can command sufficient *political support*, use beliefs or principles (L-6) which can *maximize impact*, and promote social values (L-5) which ensure an *appropriate adaptation*. The ideal seems able to unify groups

because it taps into the goodness of ultimate values without demanding union or transcendence, bolsters its constituent value systems without requiring deep intellectual understanding or tribal dedication, and focuses the welter of social values which express popular needs.

An ideal depends on the sensitive choice and use of each of its three constituent types of value for its effectiveness as a drive source. Without social values appropriate to the time and place, the ideal will seem irrelevant. Without a value system suitably chosen from a variety of possibilities, the ideal will lack shape, direction and impact. Without the transpersonal and transsocial sanction of an ultimate value, the ideal will lack a sense of goodness or rightness, and be deficient in inspiration. The integrative qualities of ultimate and social values seem to mitigate the intense divisiveness of the value systems within the ideal, and permit it to be an umbrella for diverse people and groups.

Ideals remain controversial nevertheless. Note that controversy in an ideal lies at the ultimate value level. At different times in the history of a society, different ultimate values are paramount, and these lead to different ideals. The ideal of an enterprise culture starts from freedom, the ideal of the welfare state starts from justice, the ideal of a learning society starts from truth, the ideal of a caring community starts from compassion.

It can be confusing when the term ideal is used to refer to a particular ultimate value only: e.g. the ideal of peace. Bellicose communities that glorify war may still hold peace as an ultimate value, but it is hardly appropriate to describe peace as their ideal. An ideal built on peace as the ultimate value might be better called 'peaceful coexistence'. This ideal will imply different things in different countries according to their value systems; and it will embody social values — absence of war, technology transfers, trading relations, cultural exchanges — which are chosen to be appropriate for all parties. A valued idea is often called an ideal by philosophers; and value systems alone, like socialism, are commonly referred to as ideals — but such usage, again, can be misleading. It is an idealistic product of socialism, like the welfare state or the just society, which is the true ideal (as defined here). Socialists disagree violently among themselves about what constitutes true socialism, but the ideal unifies the warring sects and factions. The ideal can even spread beyond the in-group: in the case of the welfare state in the UK, it drove conservative governments who abhor socialism. Finally, referring to a social value like education as an ideal is also unsatisfactory. Any ideal needs greater depth and complexity if it is to deal with value disputes and install new values: so we have the ideal of liberal

education (with the ultimate value of wisdom and the value system of liberalism) or academic scholarship (with the ultimate value of freedom and the value system of academia) or spiritual growth (with the ultimate value of truth and the value system of a religion).

An ideal cannot specify its mode of realization, because its constituting levels are conceptions which float above any specification of activity. Naturally, the *criticism* which is characteristically levelled at ideals is that they are unrealistic. Such criticism is only valid when ideals are misused. Ideals must be realistic if they are to function as defined.

Social Process. Ideals have the power to awaken people permanently to possibilities of social life at its best. So ideals find their natural home, their *locus of responsibility*, within social movements. A movement is an endeavour pursued by a loosely bounded and minimally organized collection of people. It develops and spreads new values spontaneously and has the potential to transform groups to which its members belong (see G-5[3]: Ch.12). Its elites — self-proclaimed spokesmen, ideologues, academics — conceive, document, defend and disseminate the ideals for the wider public. The ideal, initially, is incomprehensible but vaguely appealing to many. Only through much discussion, explanation and exhortation does its nature emerge. Managers, for example, were at first confused by the phrase 'total quality'; elderly women wonder what 'women's liberation' means; and I still puzzle about the ideal of the 'social market'.

The responsibility for learning about and subscribing to ideals conceived by others rests with each person. In the community this depends on a sensitivity to that area of value and to the need for change. When a person comes to recognize and accept an ideal previously unrecognized or dismissed, the result is an awakening and a sense of needing lower-level components to fulfil the drive and spread the values. Ideals, once understood, are felt as natural and necessary by those who hold them. They not only release energies for social endeavour, but are the best personal defence against passivity and doubt.

Ideals, like the movements which disseminate them, appeal across tribal groups and ideological divides. As appreciation of an ideal grows and spreads, groups of all sorts take it up. By internalizing the ideal, each specific group maintains the loyalty of its members and aids its integration in society. Of course, the way the ideal is explained and used differs greatly according to the group.

Organizations usually need to change their culture in a variety of dimensions and so require a variety of ideals. Any culture-change process requires a mini-social movement and should start with recognition of a worthwhile and relevant ideal — and this must be something more substantial and less achievable than 'to be the best' or 'to beat our main competitor'. Once the ideal is found, the commonest mistake made by managers (aided and abetted by their management consultants) is to set up a programme of implementation, as if the ideal was something tangible like a product or a skill. Behavioural change may then occur, but without the awareness and implanting of new values. An ideal can only be brought into an organization by deliberately adopting it, activating lower level drives, and then using the ideal as the principle criterion to judge all directions, programmes and systems. In this way, new values may be slowly and progressively installed.

Failure. Ideals may fail to unify people to practical ends, but not because they are unrealistic or disproved. Ideals will fail if their ultimate values lack sufficient social support. So ideals which work in Japan may not work in the USA. The welfare state remains an ideal, but the collapse of socialism and the increased focus on freedom rather than justice has weakened its impetus. An ideal will eventually collapse if its ideas lack a sound basis in reason or fact. Racial purity was the nazi ideal, but when the nazi's perverse value system collapsed, this ideal went with it. If it is not possible for ideals to be defined and applied using existing social values, then the ideal is truly utopian. and not a useful tool for practical people in the present.[15] So ideals need to adapt as society evolves and social values change. For example, the ideal of financial independence used to imply avoiding indebtedness, but freedom from debt is no longer a social value or personal need, and financial independence has come to signify the ability to borrow and maintain high levels of indebtedness without fear of foreclosure.

If an ideal fails, a new ideal must be found to take its place. Failure to develop ideals or denying the need for ideals results in cynicism, apathy and loss of energy for making improvements. This is a poisonous and contagious state which can infect a wide variety of activities and eventually weakens the social fabric.

Limitation. Ideals bring people and social groups together, stimulating their individual and collective determination to see that certain values are introduced. But ideals fail to specify how particular issues should be dealt with, and do not indicate what endeavours should be pursued. Ideals also fail to recognize and facilitate the debate between different tribal groups or sectional interests. So a more focused component is needed, one which can orient people to alternative constellations of values in specific areas and can define practical

possibilities. This is provided by moving down a level and devising a crusade.

G-3⁴: Crusades

Nature. The introduction of values (or the defence of values threatened by social changes) can be given a coherent and practical focus by defining a crusade. The *function* of a crusade is to convert people to ideas of potential social benefit. The crusade emerges in response to a particular issue or problem, which is typically referred to as a cause. The crusade generates an agenda of reforming endeavours linked to the cause but does not indicate the methods and details of their implementation. A social group exists or forms around the cause and sponsors the crusade. So any crusade is as persistent and enduring as the issue and that group.

The main *use* of a crusade is to educate people about the practical implications of social change and value challenges embodied in particular issues or problems. If half-way successful, the crusade conditions people to accept what can and should be done about them. Those responsible can then instigate action without fear of a rebellion. If fully successful, the crusade reorients people so that their energies and loyalties serve new ideas.

Whenever the values reflect a social problem needing to be tackled on the broadest possible front, a 'good' cause tends to be established. Recent good causes include care for the homeless, better handling of families in courts of justice, equal opportunities for women, and protection of endangered species. Public crusades for these causes seek a high profile and are pursued pro-actively and persistently. The other type of crusade is mainly reactive to events. For example, we tend to hear about the cause of farmers, whenever there are attempts to limit the subsidization of unnecessary produce; or the cause of banks, whenever public discontent at their inefficiency, ineptitude and unresponsiveness erupts. These causes may be called 'defensive' because their crusades exist to defend vested interests.

Crusades invariably generate political controversy because of their sectional or ideological nature. So there is often a lack of agreement on the worthiness or need for crusades on behalf of even good causes, let alone defensive causes.

Crusades span the conceptual and the practical by their efforts to produce a realistic agenda for reform. In organizations, crusades are essential to install new values. Without a crusade, new ideas only disorient people, whatever their logic or confirmed validity. Many, probably most, staff in organizations at present are wary of new ideas. But, explain the ideas in terms of new activities or demonstration projects, and then the new values spring to life and genuine enthusiasm becomes possible. In society, the reform agenda for a good cause is typically presented in the form of a manifesto which specifies a seemingly radical and comprehensive range of projects or proposals. For example, a recent UK manifesto for the disabled proposed changes in legislation, benefits, community care, health services, education, employment and training, housing, public transport, leisure and access.[16] Such an agenda can only be realized if the crusade can generate a wide variety of community-based campaigns and organization-based initiatives.

Content. On the one hand, the crusade can only get *political support* and create insiders if it is built around certain ideas and principles, i.e. valid value systems (L-6), which serve the cause. On the other hand, the crusade can only *maximize impact* on outsiders if it is aligned with what the community perceives as its needs, i.e. current social values (L-5), and is pursued vigorously in their terms. Finally, neither insiders nor outsiders can understand the crusade until they see it developed as a set of possible and worthwhile endeavours, i.e. principal objects (L-4), which are *appropriately adapted* to the current situation.

Crusaders should recognize that social values are the chief determinant of social support and effectiveness. A society that tolerates poverty generally is unlikely to be responsive to a crusade for the homeless. An organization cannot sensibly launch a crusade to put women into senior jobs if society sees little need for women to work at all. Opposing or alternative social values in organizations are also relevant: e.g. the values of immediacy and expediency may impede HQ crusades to get efficiency savings through systematic review and redesign of procedures. A crusade is most likely to be successful if its social values are specified in accord with current ideals. The cause of the homeless, for example, needs to be forwarded very differently in an enterprise culture than in a welfare state.

The value system is the source of controversy in any crusade. The ideas behind defensive causes, like farming and banking, are usually left implicit, but no-one is in doubt as to the tribal origin of their proposals. Their spokesmen present arguments in terms of social values in order to gain a hearing and impact: farmers claim to protect the countryside and to secure the national need for food; banks speak of the need for efficiency, risk-management and shareholder return. Defensive causes seek to see off public challenges and work to strengthen their own social position and status.

In the case of crusades for good causes, the social value is self-evident, but the beliefs or principles behind

them may need more deliberate definition in order to get sufficient popular backing. For example, the crusade for family courts in the UK is defined by principles of conciliation and family support rather than the usual adversarial principles.

Often the value system flows from the identity of those behind the crusade. A crusade for the homeless may be furthered on the basis of a Christian value system (e.g. by the board of social responsibility of a church) or on the basis of a socialist value system (e.g. by a left-wing pressure group).

Crusades formulate worthwhile endeavours according to the possibilities. So these are modified over the years as times change or as objects are realized. For example the crusade for family-friendly litigation has been forwarded in the past decades through altered procedures, new types of family courts, acceptance of videotaped evidence by children and so on.

Social Process. Crusades are lengthy efforts and their pursuit can be tiring because of the polarization and intensity of feelings roused by their attempts to re-socialize people. To be effective, they need to be championed. For defensive causes like those of banks or farmers, the *locus of responsibility* for championing is found within umbrella organizations and public relations departments which take on the role. For good causes, like the homeless or giant pandas, voluntary action is required.

Activists must rally to the cause and individual champions must be found who are prepared to dedicate themselves to the crusade. The most vociferous champions may become public figures. Ralph Nader, the US consumers' crusader, achieved renown for his fight against corporate negligence and dishonesty. The cause of consumerism is now well-developed and many consumerist values have been embodied in legislation and accepted by businesses. Total quality management, for example, is the managerial ideology forming the internal counterpart to consumerism. Political parties in most developed countries now see consumers as voters and treat voters as if they are consumers. People have been converted to consumerism.

The survival of a cause and the sustenance of a crusade depend on a definable group, sometimes called a reform group, which takes on itself to overcome resistance and see that change eventually occurs. Newspapers, for example, merely report the progress of crusades. Only when society is reoriented, do they actively run or support campaigns within that crusade. So crusaders cannot depend on general support, but must obtain resources directly from some group and its circle of supporters. Within an organization, that group

should be the governing body (with top managers) which is responsible for the organization and controls its resources. In the case of good causes, the crusading group may gain additional resources for their crusade by grant from government or philanthropic foundations, or by gift from sympathetic members of the community.

The *criticism* inherent in crusades is that there is an over-valuing of the cause. Greenpeace, for example, which has mounted such a successful crusade in relation to care of the physical environment has been regularly attacked for being too biased or one-sided, and for making proposals for new types of activity which are excessive or extreme. For many years, businessmen and politicians viewed Ralph Nader as a destructive extremist. It is possible to have sympathy for a good cause without being fully converted to it and accepting all the related claims and demands. So people may wish to defend homosexuality as a sexual option and strongly oppose discrimination against homosexuals, while still disagreeing with some objects of homosexual crusades like teaching homosexuality in schools or allowing homosexual couples to adopt children.

Organizations which need to incorporate new ideas or wish to adopt a new culture must mount crusades. People at the top must themselves be converted — which means that they cannot imagine the organization succeeding without the ideas. The crusade, in other words, must be felt to be essential to the work and social situation of the organization if it is to have any hope of being successful. For example: the idea of marketing in Europe has been alien to most UK firms. However, removal of customs barriers in 1993 exposed UK firms to European competition and the threat of collapse. Staff lower down the organization cannot properly appreciate the threat (or the opportunity) and are not disposed to change their ways. The crusade must convince them by locking in to recognizably urgent needs and existing social values of the staff. Finally, a package of actions, the reform agenda, must be developed. In the case of *Europe sans frontières*, this would mean changes to business activities like foreign language training, altered distribution arrangements, new marketing initiatives and so on. In the same way, a recent project in a public hospital suggested that a crusade for patient-centredness should focus on better handling of patient contacts with the hospital, developing ward systems oriented to patient needs, and launching initiatives to accommodate patient convenience — all rather radical proposals.

Failure. In the absence of a crusade, people are puzzled by the cause. They do not understand what the issue is, why it needs addressing, what the possible

change is about, and what sorts of things might be done. Crusades may fail because they are pursued half-heartedly: a common occurrence within organizations. If this occurs, people are not converted, energy for change is not generated, and the hoped for social benefit does not materialize.

Outsiders look at a fizzled crusade with a mixture of contempt and satisfaction. Like ideals, crusades do not fail because they are wrong or disproved. They fail because the value system lacks adherents. Enoch Powell's crusade to repatriate Asian and West Indians in the 1960's foundered because the idea of apartheid was disturbing and could not gather sufficient political support. A crusade may fall into disfavour and achieve little if the social values within it are unacceptable. The paedophile cause has a continuing flow of recruits who support the idea of sex with children, but their crusade has failed because people reject the need for children to have sexual freedom or for adult sexual freedom to include activity with children. Paedophile champions tend to end up in prison.

Limitation. Crusades are socializing. They re-orient people and redefine their responsibilities. They enable the development and implementation of distinctive ideas about what a society or organization should value. Although crusades indicate broadly what will happen, like ideals they are distant from the moment of choice. Crusades seek to operate on our minds and are still too general and unconnected to the immediate situation. We become aware of them, sometimes fearfully and sometimes contemptuously, but screen them out as we turn to face present demands. Now, however, we move to the first of the three drive components which impinge directly on our choices in their attempt to ensure that installed values are put into practice. The first stage in this process is the production of a campaign.

G-3³: Campaigns

Nature. A campaign is that part of a drive where the activation of values and the possibility of change are sharpest. The campaign must, as the saying goes, win the hearts and minds of people. The most dramatic campaigns are witnessed at election time. Few voters trouble to read the manifesto or quiz canvassers about the detailed implications of future initiatives. Campaign managers, fully aware of this, orient their efforts to what counts: getting the vote on the day. Ensuring that single simple expression of preference is what the entire election campaign is about. Precisely the same principle applies to other campaigns.

The *function* of a campaign, then, is to persuade people to act on certain dormant values which they already hold in common.

Campaigns are all around us. Their *use* for a one-off expression of preference — when voting or when donating money — is easiest to understand. Campaigns seeking to ensure repetitive choices — doing regular exercise, turning off unnecessary lights, or refusing to drive after drinking alcohol — are far more problematic. The reason is that campaigns activate people temporarily and have a limited life. The sheer repetition of a campaign slogan may lead to a conditioning that induces people to use the value semi-automatically. But people also become saturated and may refuse to pay attention. Keeping a value like 'safe driving' permanently active is difficult even with regular campaigns timed to national holidays and festivals. So crusaders also pressure for more organized and permanent controls like stiffer legal or disciplinary penalties and special monitoring programmes.

Campaigns launched by reform groups tend to be fund-raising in order to provide services: e.g. for potential delinquents, for cancer research; or to pursue their crusade: e.g. for better conditions for incarcerated delinquents, for a ban on smoking where people congregate. Some voluntary sector campaigns target personal actions: e.g. persuading families to adopt or foster an elderly person or disturbed adolescent. When a preference is controversial, governments prefer campaigns because they depend on voluntary choice. Laws which compel compliance may then follow: e.g. campaigns in the UK to wear seat-belts in cars preceded by some years the legislation which made their provision and use compulsory. Campaigns are also useful when enforcement is problematic or impossible: e.g. in making energy savings around the home. In a similar fashion, government campaigns may be developed with the hope of reducing the pressure on public services: e.g. in the area of health promotion.

Firms regularly run internal campaigns, either focusing on business needs (e.g. to improve efficiency, to reduce waste, to foster initiative, to increase quality) or on personal matters impinging on work (e.g. to reduce alcoholism, to lessen accidents, to foster self-development). These campaigns are regularly repeated because their effect is inherently transient. Campaigns may be used to activate policy development. Sometimes, however, they are used instead of policies because they leave staff to decide for themselves how, or indeed whether, to act on the suggested priorities. This friendly flexible quality reflects a person-centred sensitive approach to management at the expense of a task-centred tough-minded approach. Although

achievement is limited, management by campaign is often favoured by leaders in public agencies and voluntary bodies where it would be out of character to adopt a no-nonsense management style which solves problems, grips issues, and confronts staff with failings.

For campaigns to work, they need to be single-minded and well-focused. The cause of protecting endangered species will only be furthered by campaigning for a particular species — 'save the whale', 'protect the panda', 'stop the ivory trade'. A series of campaigns may be launched in order to drive a crusade forward: in the above case, one endangered species being chosen after another. People may be swayed by one campaign but not by another within the same crusade. Campaigns to reduce salt or refined sugar in the diet as part of a crusade for healthy eating seem to be more problematic than those to reduce artificial additives or alcohol. So responsiveness to a particular campaign is not determined by support for the crusade.

The essence of a campaign is captured in slogans: simple pithy sayings that stick in the memory. Creative advertising is in its element here. 'Clunk-click every trip' (promoting the use of car seat-belts), 'Drinka pinta milka day', 'Labour isn't working' (Saatchi and Saatchi's slogan for the UK Conservative party election campaign in 1979), and 'Beanz meanz Heinz' — these are typical of slogans in the public domain designed to keep popular attention on a particular value so as to stimulate a particular choice.

Content. The campaign seeks to mobilize support for a value which is presented as a priority, preference or focus for action (L-3) *appropriately adapted* to the situation. This preference is presented as emerging from a social value (L-5) which has wide *political support*. To *maximize impact*, the campaign requires its own defining aims and objects (L-4).

The political choice in supporting or responding to a campaign is essentially about agreement with the social value. The success of a campaign does not demand re-orientation or conversion in the recipient. Instead it depends on the degree to which its social values are recognized and upheld by people within the relevant community. For example, to counter attempts by animal welfare activists to get fox-hunting banned, a campaign in favour of fox-hunting urged that the sport preserved the environment and provided employment — two currently popular social values. Because campaigns are rooted in social values, campaigners can use petitions which include signatures from people who have only the flimsiest connection or involvement in the issues but who in the act of signing the petition recognize that social value.

The campaign's principal objects are the primary determinant of its impact and effectiveness. Producing a petition may be the principal object of a campaign, but petitions are rarely effective in swaying governments or organizations. Amnesty International runs campaigns whose principal object is to raise public awareness that many regimes wrongfully imprison and torture their people. There is evidence that even brutal regimes are sensitive to world opinion, and that internal resistance and reform groups are supported by knowing that outsiders are concerned.

Campaigns are just one of a variety of activities mounted by organizations crusading for social reform. Often campaign objects link closely to the reform agenda defined by the related crusade. However, a campaign may well be effective without the desired end result of the crusade being achieved. The principal object of the Opportunity 2000 campaign in the UK is 'to encourage companies to take up the challenge of equal opportunities and set programmes and goals necessary for improvement'; while the crusading object of Opportunity 2000's parent organization is 'to increase the quantity and quality of women's participation in the work-force'. In other words, the campaign is successful if certain programmes and goals are in place within companies. But the success of these programmes and goals, and ultimately the achievement of the equal opportunity crusade, is a matter for each company, not the campaign.

Campaigns must go on to define internal priorities which are appropriate for individuals to use in activities or in enterprises under their control. In one of the Amnesty International campaigns mentioned above, the priority was to get people to write letters to government authorities to plead the case of specific named victims of the regime. In the Opportunity 2000 campaign, the priorities included getting companies to commit themselves publicly to publish progress reports at intervals, to attend conferences, to share experiences and to learn from each other.

The most tangible form of internal priority is the giving of money. Giving money to the campaign is a matter of individual priorities because attractive alternatives include spending it on oneself or donating it to a different campaign. Public appeals leave the campaigners largely free to use the money in whichever way they wish to achieve the object of the crusade: i.e. the precise use of the funds is not a defined part of the campaign.

Social Process. Campaigns are a community matter, and they only work with people who already hold the values. The people who hold a value in common form an undefined constituency within the

relevant community. This constituency is therefore the *locus of responsibility* for campaigns. Campaigners emerge from that constituency and serve it by getting all within it to exert their influence on a particular matter. If there is no significant constituency, then the campaign falls on deaf ears and campaigners appear as eccentrics. Many campaigns not only seek to activate their constituency, but are part of a crusade to enlarge it. In campaigns for good causes, campaigners tend to assume that the constituency is or ought to be coterminous with the community.

Large businesses call their key external constituency a market, and seek to define and target it as clearly as possible. They launch advertising campaigns into the community, knowing that their product or service is broadly acceptable to all and positively desired by some. Marketing managers know that people have to be induced to take the decisive step to buy the product or service. Because campaigns are based in social values, the so-called global market does not exist: there is instead a set of markets, each of which requires its own distinctive marketing campaign geared precisely to that territory's social values. Depending on the product or service, the largest natural market territory would usually seem to be the nation-state or occasionally a defined group of similar nations like the Benelux countries or European Community.

The *criticism* inherently generated by campaigns is their intrusiveness and their lack of sustained effect. Unless campaigns intrude — not just on hoardings, in newspapers, at public meetings, and in the streets, but into the home and office by canvassers, mail shots, radio, television, telephone and computer communications — then they are unlikely to deliver their message. Campaigns are about communication and persuasion, not about deception and control. They are oriented to a trusting constituency, not to an enemy. So choosing rhetoric for use in a campaign is a sensitive ethical issue.[17] When campaigns exaggerate and distort the truth or seek to manipulate people for hidden ends, then communication has been perverted into propaganda.

Failure. Unlike ideals and crusades, campaigns can easily fail and be seen by their supporters to have failed. Campaign failure is common and tolerable. Its consequence is that people are not reached and won over. Campaign management is obviously critical to success, but it may be easier for insiders and believers to blame the campaign mechanics than the message being promoted. Campaign failure needs a post-mortem: perhaps the timing was wrong, perhaps the principal object was unrealistic, perhaps the constituency was not developed, perhaps campaign organization was poor, perhaps communication was confused. After due

scrutiny and reflection, decisions must be taken about whether and when to reactivate the campaign and about whether and how to modify it.

The failure of a campaign in an organization suggests that an ideal or a crusade may be needed to establish certain ideas and values more firmly. A common error is to imagine that campaigns will give people new values. Campaigns are friendlier than crusades, but if they are appealing for action on non-existing values, then staff mock the campaign and the stupidity of those running it. Alternatively, where values are known to be already established, campaign failure suggests that initiatives and directives are needed to get results.

Limitation. Campaigns bring values to the forefront of people's minds and invite immediate action. They may release money, determine a momentary choice, or precipitate a long-lasting commitment. Although campaigns may have these practical consequences, they do not themselves engage with practicalities and do not link desired values with the particular results of activities. Campaigns do prepare the ground for tangible changes, but they cannot define the efforts needed. For this, we need to move down to initiatives.

G-3²: Initiatives

Nature. Once people are encouraged (by the ideal), reoriented (by the crusade), and activated (by the campaign), they are ready to pursue values by intervening in ongoing endeavours. An initiative seeks to produce a specific and costed set of strategies for immediate implementation, and so brings installation of values down to earth. An initiative is a complex project which is based on values and which reflects a concerted attempt to ensure substantial achievement on their behalf.

Values which have been successfully created and installed as a consequence of higher drive components may need initiatives to bed them into the operation. Long-standing and well-accepted values which are neglected in practice also need initiatives. So the *function* of initiatives is to generate activities which forward given values which are currently being ignored or paid too little attention.

The *use* of initiatives is fostered by pressures for achievement, often associated with a turbulent social context and escalating competition. The effect of the initiative is to engage people over a defined time to achieve specific results. Organizations launch initiatives all the time: marketing initiatives, quality initiatives, recruitment drives, membership drives. Small communities, or rather their local government or their

community association, can launch a 'town beautification' initiative, or a 'traffic control' initiative. National governments launch streams of initiatives: e.g. the strategic defence initiative (SDI) in the USA, the 'care for the under-fives' initiative in the UK.

Initiatives comprise a range of related but diverse proposals which are financially viable and feasible. So they need to be designed and delivered by organizations. An initiative needs to be time-limited in order to generate an impact. If successful, its values and component activities become incorporated into regular operations. The Alvey Project, for example, was set up in 1983 and aimed to improve the UK's competitive position in information technology. This was a 5 year £350 million initiative, jointly funded by the government (Department of Trade and Industry–£110 million; the Scientific and Engineering Research Council–£50 million; Ministry of Defence–£40 million) and industry and academe (£150 million). Firms and research groups viewed the initiative in terms of their current interests and needs and, if it suited them, put forward proposals for government grants on that basis. Successful applicants built up expertise and commitment to the work valued by the initiative, and became more likely to continue pursuing it after the initiative ceased in 1988.

Content. Initiatives need to have unambiguous principal objects (L-4) which determine their *political support*. They must be communicated and pursued in terms of key priorities (L-3) to *maximize impact*, and then implemented by pursuit of strategic objectives (L-2) which are *appropriately adapted* to the situation.

The choice of the principal objects, together with the resource allocated, is the principal focus of controversy. The total amount of finance allocated to any initiative is commonly described either as far too little by those supportive of it, or as wasteful and unnecessary by opponents — SDI was typical in this regard. Extensive and often acrimonious debates about the total allocation tend to dwarf debates about priorities and allocations within the initiative. Top managers need to recognize that precisely the same dynamics affect initiatives within their organizations.

All strategic objectives within an initiative are developed and sanctioned by reference to its specific principal objects. However, the detailed development of these objectives and therefore the impact and effectiveness of the initiative depends on the selection of internal priorities. For example, the 'care for the under-fives' initiative emphasized such things as involvement of the voluntary sector (rather than local government services), social care (rather than educa-

tional care), low-cost initiatives (rather than capital-intensive projects), and meeting inner-city deprivation (rather than rural needs).

Within organizations, there may be a tendency to define initiatives in terms of a list of projects or outcomes with little analysis of the objects or explicit work on priorities. The initiative may even come to be regarded as identical to the strategic objectives. This is a mistake because strategic objectives are the most variable aspect of the initiative. Initially they should be defined to suit the situation. The strategic objectives may need to be altered during the course of the initiative as obstacles emerge and experience develops. In any governmental initiative, for example, specific proposals are defined by the various applicants for funds depending on what those applicants (firms, academic institutions, non-profit agencies) see as possible and best for themselves — which naturally alters as the initiative progresses.

Social Process. Initiatives commonly arise from an awareness of persistent gaps or inadequacies in performance. The *locus of responsibility* rests with the organization or organizations who deliver that performance. People in charge like top managers, board directors or government ministers become aware that some important aspect of their enterprise has been neglected, or that some new kind of activity must now be recognized as important. So a principal object is teased out and asserted or a new principal object is defined, and then this object is publicized to give the necessary changes due importance. Initiatives need to be launched with a fanfare because they must be distinguished in people's eyes from the ongoing flow of policies and strategies. The initiative, like any drive component, depends far more on actively winning voluntary support than does a direction.

Although recognition of gaps is usually easy, the need for an initiative should be thoroughly investigated and established by internal or external experts to enhance its legitimacy. For governments and society, the experts may be university academics, civil service specialists, an official commission, or business consultants. For organizations, a governing body committee, an internal task force or external review body or management consultants may do the work. The result of the review process is a set of recommendations or proposals which may be criticized in its details but which is difficult to oppose *in toto*. Those affected are expected to do more than merely accept the initiative. They must positively engage with it, assign resources, and work to implement it. This is why a consultative process is so essential.

Initiatives need to be installed within organizations,

not merely implemented, because they imply a radical alteration to the type of activity performed. So a single initiative may stimulate a variety of policies and plans. Installation typically involves top managers penetrating at least two tiers of management, sometimes more. Initiatives fail if they are merely passed to a subordinate with explanations left to staff in the planning or public relations department.

Failure. Failure of an initiative means that worthwhile results do not emerge despite considerable investment of time and money. In recent times in the UK, a series of government initiatives to increase the skills and education of the work-force generally seem to have come to little. In many firms, quality initiatives have pushed thousands of staff through re-training programmes with negligible results. The consequence of such failures is a loss of confidence in management. So failures require to be understood and explained. In public life, they may lead to official inquiries or academic investigations.

From the present perspective, initiatives will predictably collapse if the principal object does not command support. Attempts to rectify the male-female imbalance at the top of the UK civil service over a period of ten years in the 1980s, for example, led to no changes at all — probably because the Whitehall mandarins responsible for implementation must have viewed the whole idea with horror and dismay.

The lack of impact of many initiatives can be traced to the way they distort existing priorities. This either leads them to be ignored, or causes other worthwhile policies to be neglected. At the extreme, multiple initiatives generate incoherence and cause the organization to flounder. Multiple policies in an organization are to be expected, but too many initiatives exhaust and confuse managers. In a firm, the quality initiative, the computerization initiative, the training initiative, the productivity initiative and the equal opportunities initiative may all be highly desirable. But, if they are genuine initiatives, then their rapid-fire introduction will lead to pragmatic and chaotic responses. Solid achievement of worthwhile strategic objectives becomes most unlikely.

Public sector organizations are particularly vulnerable to this form of overload as politicians set off one initiative after another, interested only in escaping immediate political hot water and unconcerned about previous initiatives now out of the public eye. The point is that managers can do many things at once, but they cannot possibly absorb the importance of many diverse new values. The response to each is liable to be perfunctory and superficial rather than genuine and substantial.

Limitation. Initiatives require that people engage themselves in the active pursuit and implementation of certain values. However, it may be that an organization is deeply divided over its priorities. Then the initiative is just one of many activities competing for support. At the extreme, nothing happens, paralysis descends and decisive action becomes impossible. Such crises are commonly associated with major change. Neither ideals, crusades, campaigns nor initiatives are geared to overcoming internal crises; and none of these drive components can use a crisis positively to install values. What is required is a directive: the lowest triadic group and the most forceful impetus to action on values.

G-3[1]: Directives

Nature. In a crisis, action must be taken. When new values are at stake, just any action will not do. The desired action must embody and forward the desired values. Often the crisis emerges from inaction. It may well be that there is a refusal to take the step and do what is needed to introduce or sustain a much needed value. The parliament of a country, say, may find itself unable to make the painful transition from a planned to a market economy; or a firm's governing body may find that the company is being regularly taken to court because none of its attempts to deal with discrimination come to anything; or a chief executive may find that an endless series of excuses prevents improvement in customer service.

In other words, it becomes clear at a certain point that the ordinary processes of policy-making and implementation have failed. People either refuse to decide on the main priority, or refuse to act in line with that decision. In such situations of political stalemate, one must either wait and pray for something to turn up and save the day, or take firm action which brooks no opposition. A directive is required for the latter more practical course. In other words, the *function* of a directive is to produce specific action when there is intractable value conflict.

Directives take the form of compulsory decrees, authoritative instructions or prescriptive rulings, issued by the leadership and lying within its mandate. Directives are aimed at a particular crisis situation and exert immediate control over insiders while remaining unknown or irrelevant to outsiders. The assumption, evident in the above examples, is that the group is in crisis because of a failure to decide on and pursue a recognized and accepted value. The *use* of directives is based on rescuing a group in the midst of crisis or in a state of paralysis. Urgent or desperate situations absolutely demand an expedient tactical response. The use of directives indicates that rational means of

proceeding via policies and plans have been abandoned, at least temporarily, and replaced by brute assertion. It is assumed that obedience will be rapidly forthcoming.

Often directives are accepted because responsibility for rescue is now firmly placed in the hands of one person, the leader. Of course, should the situation not be resolved, the leader must go. Directives are often disliked by those who are the recipient of them. But, if directives are not issued when they should be, an impasse persists with potentially damaging consequences.

Content. The directive is built on an internal priority (L-3) which requires sufficient *political support* if the directive is to be acceptable. *Maximizing the impact* of the directive depends on the strategic objectives (L-2) embodied within it; that is to say, on precisely what outcome is sought by issuing the directive. The detailed tactical objectives (L-1) within the directive need to be *appropriately adapted* to the circumstances.

In the case of the chief executive unable to get staff to act on the value of customer service, the directive might state that each senior manager must personally contact each customer with a complaint and provide a weekly report to the governing board on the findings and action taken. This directive makes it explicit that customer-service is a priority because it allocates to this work the scarce resource of top management time. The directive clearly indicates a strategy for customer service by its concentration on the personal handling of complaints at top level. Finally, the directive contains a tactical objective in the form of the immediate commencement of weekly reporting.

Social Process. The *locus of responsibility* for directives is the leader or leadership body. It is essential to recognize that not only the content of the directive but also the need for a directive is always debatable. In a social or political setting, the leadership says or implies that the alternative to issuing a directive is abdication or resignation. So acceptance of a directive implies endorsement of the leadership, if not of the particular step taken. The directive is sanctioned impersonally by the crisis it is meant to resolve.

Directives are an expression of naked power. So where leadership is split, for example between a Chief Executive and Board Chairman or between a President and Parliament, the use of directives can lead to severe conflict.

Because directives by-pass the usual political-managerial channels and procedures, those who receive the directive may choose to flout it rather than follow it. So situations which demand directives also require the mobilization of authority and force. When governing a

society, martial law or a state of emergency may be proclaimed and then an extraordinary degree of discretion and power is vested in the leader. Gorbachev arranged this during the break-up of the Soviet Union and so did Yeltsin subsequently in his struggle with the Russian Parliament. Sometimes political crises can only be resolved through government by decree. Brief self-limiting states of emergency are declared in democracies at times of war and to speed response to severe natural or civil catastrophes. Political leaders in states with authoritarian traditions may make a habit of using this instrument of last resort.

Directives are easier to issue in organizations than in communities because of the extensive powers invariably assigned to managers. Under normal conditions, managers in adjacent tiers discuss priorities and plans as part of the implementation process, and then action follows. If no action occurs, it may be necessary and highly effective for the senior manager to issue a directive which brooks no opposition. Those pragmatic managers who have difficulty with people and are incapable of leading by defining and pursuing strategic objectives pin their hopes of success on directives.

Failure. Directives fail if the political judgement as to their necessity is incorrect; if they are used too often; if the strategic objective being pursued is flawed; or if tactical objectives are not appropriate.

Paralysis during analysis, and postponement of the unpleasant while yet more information is collected are common enough phenomena in governments and organizations. Nevertheless the regular use of directives to cut through this stagnation or to avoid the hard work of leadership is not wise. Directives then create the role of 'boss' (rather than leader) because they coercively centralize power, reduce autonomous judgement and action, and evoke fear and confusion. Such directives become increasingly disruptive, contradictory and irrational over time because any boss lacks proper appreciation of the real constraints on subordinate action and is prone to alter priorities sharply and rapidly. Subordinate managers then swim in chaos, the issues they face are not explored, and a sense of values is soon lost. Soon staff spend most of their time trying to work out what the boss really wants rather than concentrating on their work.

Because directives enable avoidance of challenges and queries, their regular use engenders crises which justify further use of authoritarian methods in a vicious self-fulfilling cycle.

The criticism inherent in directives, even when appropriately applied, is that they are dictatorial and foster authoritarian styles of working.

Closure. Just as an ideal was the most open-ended and potentially liberating way to introduce values, so directives are the most specific and coercive way to install them. Logically we have now covered all possible drive components, and the notion of an organized drive now seems intuitively complete.

REVIEWING DRIVE

Moving away from the status quo to develop new attitudes and beliefs and generate new achievements is the most significant and yet disturbing challenge any person, organization or society can face. Handling this challenge requires drive and all articulations of drive are purposive. Using the framework of purpose, it is apparent that drives will have most impact if they contain five components — ideals, crusades, campaigns, initiatives and directives.

Practical Implications. The important stimulus for creating drives is the discrepancy or dissonance which is set up between what is implied by desired values and the current realities. In other words, drives are needed whenever there is a wish to do quite different things or to do things very differently. This wish for change can be oriented either *internally* towards oneself or one's own organization, or *externally* towards others or other organizations.

People are generally opposed to new values for themselves when these are presented or demanded by others — even values that are seemingly attractive. The higher forms of drive are rejected because they imply identity change, and the lower forms are disliked because they disrupt established habits and ongoing activities. Campaigns are the most acceptable form of drive: stimulating, but not too new or demanding.

Drives for new ideas in society are labelled as revolutionary and grand crusades on their behalf are suspect. So new values need to be introduced by small groups of dedicated reformers with the recognition that popular support can only be won over a long period.

Reforming oneself would seem to be more acceptable than being reformed, and it is less demanding than reforming everyone else. In a person, this is personal growth. In organizations, this is a culture-change or holistic organization development. Just as personal growth often fizzles out, so does organizational transformation. Too often no one knows what the new values mean, including those in charge of the installation. The political dimension in value change tends to be minimized or viewed as an insuperable obstacle. Often senior managers are over-cautious or half-hearted. They refuse to invest the necessary time, energy and money, communicate poorly, and fail to build the political backing which alone can deliver necessary change.

Governments may wish that their citizens held different values, but they are not responsible for society's ideas or values. Governments, and those who expect much of government, should recognize that the primary responsibility for any value change in society lies with the people: within each person and within organizations. Governments are primarily responsive: they only introduce and pursue 'new' values with the support, willing or sullen, of the people.

Linkage between drive components based on the overlapping of levels enables them to be chained together. In a firm, for example, ideals should develop a sense of what is needed generally, while the crusade works out a realistic agenda for change which can gain board and staff backing. Internal campaigns can use the ideal and crusade to mobilize support for new priorities or foci for action. Initiatives can then be launched building on the agenda of the crusade, using the emphases in the campaigns, and justified by the ideal. Finally, if change is insufficient or blocked, or the situation deteriorates, directives can be judiciously applied. (Note that the same level in adjacent components may contain different purposes. In the Opportunity 2000 example, we saw how the objects of the crusade differed from those of the particular campaign.)

Coercion or Consensus. The existence of five distinct drive components illuminates one of the long-standing issues in social change theory, namely: is change primarily coercive or consensual? History and every-day life seem replete with coercion, but others argue that nothing can really happen in society without a consensus. Examination of the drive components in varying social contexts is revealing.

Any drive is potentially controversial and inherently political. However, within this context, ideals lie at one extreme. Being purely imaginative, they can only function properly on a consensual basis. At the other extreme are directives which are action-focused and essentially coercive. The three intermediate components show a progressive move from consensuality to coercion. Crusades unite those dedicated to the cause: supporters flock to it while others look on more or less sympathetically, or launch a counter-crusade. Campaigns assume the existence of communal values and therefore campaigners feel entitled to intrude and provoke support. Initiatives go further and tend to force an engagement, while not quite being tools of naked control like directives.

Within the drive component, a similar pattern seems

to hold. Values in the topmost level reflect a political choice and foster the wish to find a consensus; while purposes in the lowest level, because they are chosen to serve higher levels and designed to be appropriate, lend themselves to being imposed.

The Source of Change. Communities depend on a core of mutuality and consensus, and require mechanisms both to enable change and to preserve continuity. Drives to change others (and so society) are intrinsic to community life. These drives stem from individuals and must be mediated and moderated by social institutions. Drives to change oneself are intrinsic to personal life and must also be supported and moderated by social institutions.

Tribal forces and tribal adherents lie behind all drives in society, and are the source of a powerful and potentially coercive energy. Pressures for change are spread via popular movements and focused through crusading associations staffed by adherents. Promotion of ideals, formation of causes and support for crusades require sophisticated organization. Adherents are then in a position to mount campaigns and launch initiatives into their community. Adherents penetrate organizations and tend to generate inter-tribal conflict within them. At the extreme, they may take over the organization, cause it to split, or produce continuing disruption.

Non-tribal organizations, just like individual people, are resistant to alien tribal coercion from without, but are quite prepared to use drives and coercion internally as long as they are kept firmly under control. Boards and top management are primarily responsible for producing change via drives within organizations. They must prevent or minimize disruption and internal schisms due to excessive tribalism. Coercive directives may be unavoidable in dealing with severe internal conflict or impasse, but their use should be minimized. However, the board must endorse viable ideals, develop essential crusades, mount useful campaigns and resource diverse initiatives.

Transition. If people and activities have been stimulated by a drive, changes occur which are readily perceived as real achievement. Much remains untouched and unchanged however. Furthermore, new issues and problems invariably emerge and these are liable to push the desired values into the background once again. So success of a drive raises the question of how to extend achievement and sustain the new values as part of a new state of affairs, a new identity in fact, rather than as a transient event or fluctuation in the old way of functioning. Sustaining a new way of functioning means re-defining work and the person or organization must face up to whether such an identity-change is really wanted.

The three levels of value within drive components provide a greater degree of systematization of values than do directions, but they do not provide a basis for continuing achievement, nor for self-sustaining identity renewal and re-affirmation. So consolidating gains from drives and sustaining achievement requires a more complex form of purposive entity. What is required are four-level structures (tetrads) which define and enable successful functioning.

Properties of the five components of drive.

Drives promote change and overcome opposition to desired values. Each is a triad formed by combining three adjacent types of purpose. They are operated by individuals and organizations within communities and directed either inwardly to modify the self, or outwardly to modify others. See text for further details and explanation.

Triad No. (Levels)	Component of Drive	Function	Desired Effect	Expression	Locus of Responsibility	Inherent Criticism	Consequence of Failure
5 (Ls 7-5)	Ideal	To commit people to desired values despite their differences.	People feel encouraged to persevere despite all obstacles.	Aspirational conception	Social movements explained by their elites.	Unrealistic	Cynicism and apathy weakens the social fabric.
4 (Ls 6-4)	Crusade	To convert people to ideas of potential social benefit.	People's energies and loyalty are enduringly harnessed.	Reform agenda	Causes represented by their champions.	Extremist	People do not understand what the change is about.
3 (Ls 5-3)	Campaign	To persuade people to act on dormant values which they hold in common.	People are temporarily activated to choose according to preferences.	Memorable slogan	Constituencies activated by their campaigners.	Intrusive	People do not act on their values.
2 (Ls 4-2)	Initiative	To generate activities which forward given but neglected values.	People are engaged over a defined time to achieve results.	Costed proposals	Organizations advised by their experts.	Distorting	Disillusionment with management's ability to make progress.
1 (Ls 3-1)	Directive	To produce specific action when there is intractable value conflict.	People in the situation are immediately controlled.	Compulsory decree	Leaders sanctioned by the organization's crises.	Dictatorial	Deterioration in the situation due to an impasse.

G-4: FUNCTIONING

Nature. If opposition to a new value is overcome by a vigorous drive, change can be initiated and a new state of affairs can be established, at least in principle. But each of us is aware of examples of apparently successful drives for change — in our society, in our organization, even in our own life — which seem to catch on and then peter out. Change does occur and achievement is evident, but it is transient or insubstantial or restricted. What we desire and need is a sustained state in which values are continually being realized in activities, not simply an ephemeral efflorescence.

Sustained achievement is about desirable values being enduringly embedded in activities and outputs. This is what functioning successfully in society is about. Drives to install values can cause changes in functioning with the hope, if their impetus is absorbed constructively, that achievement will be enhanced. However, functioning itself is not possible without continuing work, usually hard work.

We are only prepared to sustain achievement through work, even changing our social identity if need be, if we can see, rationally, that this is required. In other words, a type of value must be in place which not only validates directions and drives, but which has the power to coax and entice us to work.

The addition of a fourth level of purpose to form a tetrad provides this *essential rationale*. To reiterate the point: without values experienced as a rationale, people cannot fully engage with on-going purposes, new values cannot possibly gel inside these people, work is done poorly or not at all, and achievement cannot be sustained. So the tetrad is crucial to achievement. The formation of sets of four levels defines **functioning**.

All functioning occurs within entities which possess an identity. Put another way, all functioning is owned by defined individuals. Usually one thinks of an organization — as I will throughout this section — but functioning is equally a matter for self-contained parts of organizations, for individual persons and for governments.

The nature and structure of endeavour-based entities with a definable social identity will be considered in Ch. 12. Here we need to recognize that the functioning of any such entity depends on a set of self-contained, identity-defining, quasi-autonomous, coherently organized purposes and values which determine and sustain its activities over time. Any entity which has the capacity to function finds that its (social) identity is based on those values. That is why functioning lies at the heart of identity in practice. The work associated with functioning demands that identity-defining values be explicitly devised, communicated and institutionalized in a coherent and consistent way.

Types. Four tetrads are logically possible and these correspond to the four domains affecting the functioning of an entity. Each domain itself constitutes a type of functioning. The four domains with their purposive core are labelled, in descending order, as follows: the existential domain which demands continuing work on the entity's *vision* (G-4^4); the attitudinal domain which demands continuing work on the entity's *culture* (G-4^3); the developmental domain which demands continuing work on the entity's *growth* (G-4^2); and the activity domain which demands continuing work on the entity's *operation* (G-4^1).

All four domains of functioning must be worked at if achievement is to be sustained in a turbulent social context. The quality of work in the four domains and their effective interaction affect the survival of the entity. The trend when descending is for an ever more direct influence on performance and the tangible expression of identity.

The four domains have a common internal structure. In each case, the top (fourth) level includes the values which must provide the *essential rationale*, that is to say a reason or justification for work in the domain, which is recognized and desired by all concerned. The third level, as before, is critical to winning *political support* from the various stakeholders for the emphases in functioning in that domain. So value choice here is a sensitive and potentially controversial matter. Purposes selected within the second level constrain functioning in the domain strategically and so need to be defined to *maximize impact*. Finally, values or purposes in the bottom level must be devised to ensure the domain is *appropriately adapted* to the existing circumstances.

In an organization, maintaining adequate functioning and, of course, sustaining achievement are quintessentially leadership responsibilities and yet everybody's concern.

Achievement is most visibly the product of operations. Nevertheless, the other domains of functioning play an important part in ensuring that the operation does indeed achieve, with each domain contributing in its own way. Certainly, the closure of an otherwise efficient operation can be the result of a lack of vision, a dysfunctional culture, or stagnation in a dynamic market.

The four domains of functioning, taken together, mirror the structure of levels internal to each. Because visions can be exciting, benignly inclusive and deeply fulfilling, they provide the *essential rationale* for the very existence of the organization. Modifications to the cul-

Figure 10.4: The tetradic grouping which defines functioning.
Four domains of functioning enabling achievement to be rationally sustained.
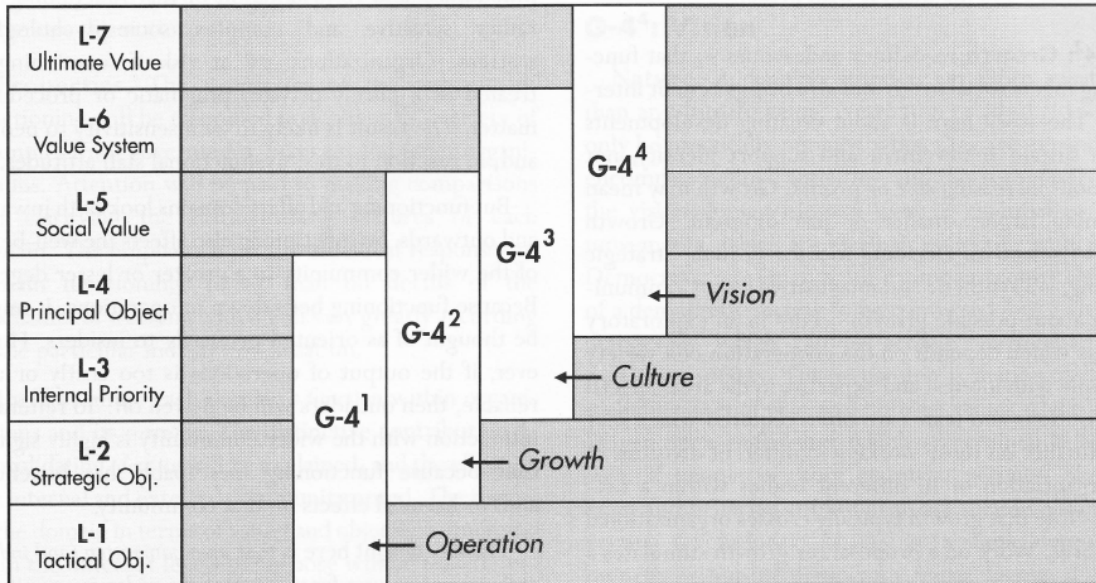
ture, although generated by the urge to survive seem artificial and strange to many. They must win *political support* to be introduced. Growth, while serving interests and needs in a practical way, directs and constrains achievement and must be designed to *maximize impact*. In other words, growth must be viewed strategically. Finally the operation needs to ensure that functioning is *appropriately adapted* to available resources and circumstances as well as adhering to the vision, the required culture and growth intentions.

We can capture the distinctive contributions of each domain to sustaining achievement and success by noting that the vision must be inspirational, the culture must be viable, proposals for growth must be feasible, and the operation must be programmable.

The tetrads are represented diagrammatically in Fig. 10.4. Note that all include principal objects because functioning expresses identity and objects define the identity of endeavours. Properties are summarized and compared in Master-Table 34.

Before going into further explanations and details, the four domains are defined below, their relation to identity noted, the nature of leadership and special work processes identified, their communal function explained, and the natural response of recipients identified.

G-4⁴: Visions establish a framework of enduring values so that functioning inspires people and guides all work. An identity needs to be defined which has the potential for people to want, spontaneously, to turn it into a reality. The task here is to introduce or activate ultimate values within a group of people involved in the endeavour. The vision allows for the possibility of an imaginative and personalized approach to work. So developing it and living it is everybody's business. But ensuring that engagement with the visionary domain is maintained is leadership work, and such visionary leadership is transformative. The vision penetrates to the essence of an organization, giving members a deep sense of 'who we are' and 'why we are here'. The vision has the potential to create intense excitement and attraction because it makes ultimate values real and achievable. The inspirational quality enables transformation, both within the internal community and in wider society.

G-4³: Cultures keep certain values prominent so that functioning fits the social environment and maintains individuality. The work here is about recognizing precisely what needs to be treated as important in order to survive. Enduring cultures maintain and express a viable identity, which means one that fits its context and which permits the distinctiveness necessary for survival in the face of competition. The leadership task is to introduce, explain and, if need be, assert certain carefully selected values. Changing a culture is difficult and depends heavily on communication within and without the organization. Support for the leader in this work comes from public relations experts. Effective communication is essential for work in all the domains, but here communication is about dissemination. Work on the culture must recognize staff within an organization as a community or public of equals. Such work differ-

entiates the internal community and wider society too, because it affirms standards and uniqueness as well as belonging. If the work is well done, people are aware of their culture and maintain it with pride.

G-4^2: Growth re-defines endeavours so that functioning meets social needs and also brings benefit internally. The work here is about creating developments which sustain achievement and support identity, not just about increasing size or profits. Growth may mean becoming larger, smaller or just different. Growth must be selective. Deciding foci for growth, strategic thinking, is a synthetic and imaginative task. Communication about possible growth occurs in an exploratory process which depends on the cooperation of a variety of people with interest and expertise in the area. Special investigations and teams are often required which may draw further on those working in different divisions of the organization or in different bodies within a network. Note that growth typically crosses organizational structures. Work on a proposal for growth stimulates a determination to define something which can and will succeed. In this way, the internal community is strengthened. Growth also strengthens wider society, because it is based on deliberately forwarding existing communal values and responding to social forces and emerging needs. Absence of growth is experienced as stagnation. It weakens an organization and leads to demoralization.

G-4^1: Operations maintain performance so that functioning produces valued outputs efficiently. All achievement is in the end manifested through concrete operations or projects. Work here solidifies, confirms, substantiates and demonstrates identity as expressed in the vision, culture and growth. Operations are capable of being programmed and their success depends on accountable leadership. The specialized work here is that of management control. Even moderately-sized organizations require a special function, usually called 'general management', which is not tied to any profession or occupation and which is dedicated to the viability and continuity of the operation as a whole. Comprehensive coverage of all operational activities is needed, especially in terms of time scales and finances. Operations have a sustaining function in wider society, being based on the efficient production of tangible and intangible goods and services. They also sustain the internal community not only by keeping the organization going, but also by creating a sense of deep satisfaction which is based on being effective and feeling in control. Inefficiency or breakdown of operations threatens rapid collapse.

The Two Communities. The quality of their functioning is naturally of great concern for the group of people involved: e.g. the internal community formed by the staff of an organization. As a result, successful functioning and re-orientation of that functioning are rather sensitive and complex socio-psychological matters. Organizations are at risk if functioning is treated as a purely private, pragmatic or procedural matter. The result is likely to be insensitivity to people and, in reaction to this, dysfunctional staff attitudes.

But functioning and all its domains look both inwards and outwards. So functioning also affects the well-being of the wider community to a greater or lesser degree. Because functioning beds down in operations, it might be thought of as oriented primarily to insiders. However, if the output of operations is too costly or unreliable, then outsiders will be driven off. To reiterate: interaction with the wider community is highly significant because functioning inescapably has beneficial and/or harmful effects on that community.

The key insight here is that *an organization (and indeed each person) ensures functioning of the wider community by functioning for themselves*. On the one hand, functioning maintains the coherence and effectiveness of any individual organization. On the other hand, this same functioning within organizations simultaneously performs an essential role in the wider community. Put another way, the quality of social life and community identity depend on the functioning of a myriad of organizations. Note that organizations are but instruments of people in the community and therefore dispensable or replaceable; whereas the community is the people themselves and embodies traditions and identity.

Each of the four domains of functioning serves one of four distinctive functions required to support a *communal identity*. The identity functions which need to be met within any community, natural or artificial, are: to transform itself (G-4^4), to differentiate itself (G-4^3), to strengthen itself (G-4^2), and to sustain itself (G-4^1). The communal identity aspect of the domains of functioning applies within the organization to its internal community as well as in wider society.

Note that government may fund or sponsor various bodies, but it cannot run society as if it were a rational operation or super-organization. Modern society cannot be said to be run by any organization, but it functions as a result of the outputs and interactions of organizations of every conceivable type. In modern times, we use organizations for almost everything: from upholding the ethical order to providing essential services to making life fun. In short: all communal needs must be developed, supported and implemented by work performed *by and for* autonomous individuals, usually in the form of organizations.

Organizations may be classified according to the type of functioning with which they primarily identify, and the communal identity function(s) and societal role(s) which they therefore fulfil: Chapter 11 explains and elaborates this notion.

Properties. The properties of the domains of functioning will be examined in detail with a variety of examples from government, business and other organizations. Attention will be paid to making comparisons and clarifying the distinguishing features of each domain. The emphasis is on the universal responses to domain functioning, rather than on details of the mechanics of working which will vary greatly according to the particular industry or situation.

I will examine each domain's *function* within organizations and its *coverage*. The distinctive contribution to consolidating *identity* will be explained, and the effect on the internal and external community noted. The *content* of the domain in terms of values and objectives emerging from the different levels of purpose will be teased out.

The development and introduction of each type of work demands a sophisticated *social process*. All work must engage with what exists, and so requires assessment of the situation. Work in all domains demands a participative approach and the solicitation of different viewpoints. All work should enable scope for discretion and individual initiative. Nevetheless each domain requires these things to be handled in a different way. Each domain of functioning requires a distinctive *method* to be used for creating a useful purposive output, and each is associated with a characteristic form of personal *engagement* with that output. Differential qualities show up particularly in characteristic *communication* modes and the natural *responses* of participants.

Work performed within pragmatic or bureaucratic cultures commonly pushes together values and objectives in a relatively haphazard fashion. Given a monopoly position or secure government contracts, such organizations may be blatantly dysfunctional and yet persist for years. Something will therefore be said about the form of *leadership* required to handle each domain effectively, and the *specialized work* and associated management discipline needed to aid the leader.

Each domain has *limitations* in securing achievement and maintaining on-going functioning, and this is used to move down to the next domain. However, in many instances, apparent limitations turn out to be an expression of *failure*. Although any effort may fail if it is untimely, under-resourced, insufficiently focused, transiently attended to or poorly communicated, each domain can also produce a failure of functioning in its own unique fashion.

With the above italicized properties as points of reference, we can now examine and compare each of the domains of functioning in turn.

G-4⁴: Vision

Nature. A genuine vision is yet more substantial than an ultimate value, conviction or ideal. Ideals can only be practically pursued when they are expanded to encompass defined activities, and this is precisely what the vision does. Visionary work is essential to social movements, which are idealistic collective enterprises. Democratic movements, for example, require the ideal of a democratic society to be converted into a vision of democracy which can be actually introduced in a particular society. This expansion is made possible by including a set of principal objects: values which are no longer open-ended and which are eminently achievable. If people in those countries recently liberated from authoritarian communism are serious about converting revolutionary change to a stable democracy, then the vision of democracy needs to bed down in institutions like uncensored newspapers, an accountable police force, and competing political parties. All such developments are organization-based and those organizations must themselves aspire to democratic ideals.

Visionary work is the way that responsible leaders of any enterprise can set about determining or altering what it is about and why it deserves to exist. This top tetrad includes all the identity-developing and identity-controlling levels of purpose (cf. Master-Table 3) and so it serves as the strongest possible basis for creating an *identity*. Without a vision, conceptualizing and transforming an enterprise is exceedingly difficult.

The *function* of a vision is to establish a framework of enduring values to inspire people and guide all work. The vision has an encompassing scope and embodies high aspirations. So visionary work is needed to create a stable and stabilizing context for introducing a viable culture, determining growth possibilities and running operations — as well as easing the use of drives and directions. The vision must motivate and unite people in the service of practical achievement. At its best, it generates a deep excitement which is a mixture of conviction, belonging, enthusiasm and inspiration. Genuinely created, these feelings spill outside the organization into associated bodies and wider communities. People start to feel that something is happening which is special, interesting, worthwhile and deserving of support.

The point is that a vision is not an ethereal extra. This is well recognized in enterprises serving good causes like Amnesty International, and in wealthy foundations funding social developments like the Carnegie

Foundation. Visions are natural too in churches — one bishop described his vision as follows: 'The Church has been called into being by God. It exists to offer worship; to make known, by deed as well as word, the love of God in His Son Jesus Christ and, through the Holy Spirit, to draw people into a loving and ever deepening relationship with God and one another. It thereby acts as a sign of that kingdom when all things will find their proper fulfilment in the divine purpose.' The ultimate value here is love, the value system is Christianity, the social values are the need for relatedness to God, communal relations and religion in general, the principal objects are worship and good deeds. As this example illustrates, the *coverage* of a vision feels total — an implicit inclusiveness — while reaching the essence of what the organization is about.

John Major's Citizen's Charter is a vision of the UK government (see Ex. 10.1). Of course visions, especially grand ones, may not be realistic. President Johnson's 'war on poverty' in the US was widely viewed as a failure. Nor are they necessarily good. The visions of some dictators — Hitler in Germany, Mengistu in Ethiopia, Moi in Kenya — appear nightmarish as well as grotesquely unrealistic. Being based in negative ultimate values, such visions produce devastation, corruption, poverty and terror.

The Citizens Charter: The Citizen's Charter (really a consumer's charter) is the UK Prime Minister's vision for public services. The Charter seeks to generate significant change in the functioning of government departments and agencies, nationalized industries, local government welfare and education services, the National Health Service, the courts, police and emergency services, and key utilities under government regulation. So it is not simply a drive or a particular development. Its eventual realization is dependent on numerous pieces of legislation and policy-development, various promotions and campaigns, as well as growth and operational changes in a wide variety of government-run or regulated enterprises. The ultimate values are freedom and justice; the value system is capitalist/conservative including controversial ideas like competition and privatization; the social values include needs like openness, choice, value-for-money, non-discrimination, accessibility, better quality of service, information about standards, redress. Within each public service, a variety of principal objects have been set as appropriate to their situations. The Charter ramifies widely and has the potential to produce many improvements. **Ex. 10.1**[18]

Visions remain elusive in most well-established businesses and public agencies which are oriented mainly to their markets, their finances and their operations. Many firms thrive because of their founder's vision but, as time passes and with the retirement or buy-out of the founder, that vision loses its validity and holding power.

Unless a new vision is developed, such firms are living on borrowed time.

Top executives justify the neglect of higher values by arguing that they need to focus on strategies or cost-cutting to maintain competitiveness and sustain profits. But getting the product and service right does depend on higher levels of value which alone give meaning to the word 'right'. A giant corporation can only be energized and unified through a vision. Such inspirational direction can cross national boundaries and help avoid both over-centralization and fragmentation. Visions are inherently humanizing and so they are essential to counter cynical and instrumental attitudes to work which can never release the best in people. Empowerment of staff, a current pre-occupation which means allowing people on the spot to use their discretion and judgement, depends for its success on a framework of pure value that is meaningful and relevant to each member of staff.

Even if not articulated, some vague linkage of an organization's mission (social value and principal objects) to the staff's convictions (value systems and ultimate values) probably exists like it or not. It sometimes seems as if companies in an industry or agencies in a welfare sector pursue a blinkered implicit vision, inadequate to the challenges, poorly communicated and never properly institutionalized. The computer industry, for example, excluded the user for many years and catered to large corporations: non-intuitive interfaces, over-complicated machines and incomprehensible manuals were the norm. Then Steve Jobs and Steve Wozniak decided that their company, Apple, would 'make a contribution to the world by making tools for the mind that advance humankind'. Computers, they proclaimed, should be no more unusual in the home or more difficult to use than a washing machine. In a relatively short time, ordinary people had available a genuine alternative computer and Apple thrived.

Content. The *essential rationale* of any vision is provided by ultimate values (L-7). Visions are the way that ultimate values can be introduced into organizations deliberately, unashamedly and unambiguously. These abstract and universal values enable enlightened self-interest. They inspire and attract good people and foster their capacity to contribute — to the enterprise, to the wider community and to themselves.

The vision requires good ideas, i.e. value systems (L-6), which must be chosen so as to gain *political support* from those affected. This choice is a sensitive and controversial one. For example, the visions of Gorbachev and Yeltsin for government of the Soviet Union were initially different, the former assuming a key role for communism, and the latter rejecting it

entirely. However, after an attempted communist-inspired coup failed, it became clear that communism had lost support in the populace and Gorbachev rapidly dropped it. Despite the logical dependence of any firm on its customers, the idea of 'customers first' may not win automatic support from staff if their work is generally distant or opaque to customers. By contrast, it may be easy to win support for the idea of 'monopolizing market niches'.

Any visionary statement *maximizes its impact* through the choice of social values (L-5). These govern the integration of the vision into the internal and external community and so determine whether insiders and outsiders recognize it as valuable and necessary. For example, the vision of the Citizen's Charter (Ex. 10.1) is supported by the government because of its value system, but the impact on the public and those working within public services flows from its identification of pressing needs (i.e. social values). Similarly, staff may not care too much for a chief executive's beliefs about business and theories of management but they can engage fully with the need for innovative products, reliability, and satisfied customers — and these are the sort of values which determine the success of the firm.

Finally, the vision must be *appropriately adapted* through its choice of endeavours or types of activity i.e. principal objects (L-4). These must fit the possibilities of the times, recognize social forces, and engage with technological capabilities. Principal objects, the most easily modified part of the vision, must ensure that the vision's higher values are met. It follows, of course, that visions have nothing at all to say about outcomes, deadlines, procedures, budgets &c. In this way, they permit the greatest flexibility in interpretation by all who use them.

Social Process. The vision contains values which define 'what we want to be'. But a vision is a living thing and not simply a formally agreed statement like the mission or a policy. It requires a continuing work process and should feel as much of a preoccupation as the operation. The leader or leadership group has a key role in articulating essential values because unless they are behind the vision, everyone knows that it is not going to mean very much or go very far. However, once the elements of the vision are articulated they can be handed over to others to refine and develop in a continuous process. Once encouraged to think in this way, people spontaneously suggest a range of relevant values which have a utopian flavour and yet are achievable if everyone takes them seriously.

The *method* used to generate and evolve a vision is primarily experiential or imaginist. This is the only way to ensure that personal contact is made with ultimate values. The leadership group must engage in a soul-searching and reflective process. The mechanics of work and daily pressures and irritations must be temporarily banished and questions like 'what is it all for?' and 'why should we care?' must be asked and asked again until a satisfactory answer emerges. The leader must activate ultimate values to produce a viable vision which has a sense of rightness and a humanizing and ethical quality.

The vision should be a pithy statement: explainable in no more than a half-page or page at most. It derives its force from its natural and inherent appeal and the genuine commitment of the leader. So once certain core ideas have crystallized, the leaders must proclaim and espouse the proposed vision to everyone. This *communication* is a form of preaching and evangelizing. The automatic *response* if the message is right is a sense of excitement. This is because the vision generates loyalty, evokes a desire to belong, enhances commitment and increases cohesion.

Visionary statements tend naturally to include superlatives and words like 'excellence' and 'best' (because goodness is a diffuse ultimate value). But the content of the message must be more substantial. It is always possible to discover specific ultimate values which people feel are rationally required, that is to say, which make deep sense to them. *Engagement* with visionary work is not problematic, because, if adequately devised and communicated, the vision spontaneously sparks a sense of ownership in participants. If participants truly own the vision, they will want to work on it and improve it. If they are not encouraged to challenge it, enlarge it, shape it and evolve it, they will never live it and benefit from it.

If the content is new to people or significantly different to what everyone expects, overt appeals to an ideal and the establishment of a crusade may be necessary. However, the process must always have the quality of informality, spontaneity and genuineness because personal ownership is essential. The sudden appearance of posters telling people what they believe in can be profoundly depressing; and an official launch of a vision as part of a marketing-cum-media circus is likely to be wholly counter-productive.

Specialized Work. Articulating a vision is the prime task and vehicle of *leadership*. Because organizations can be altered beyond recognition by taking a visionary perspective, the popular label is 'transformative leadership'.[19] Such leadership can only be delivered by the authorized or official leader: e.g. either Chairman of the board or Chief Executive. Transformative leadership is conceptual and emotional, inspiring and challenging, far-seeing and immensely

practical. If leadership is inspired, enlightened and intense, people can be moved to great achievements.

The work depends on the leader cultivating self-awareness, facing reality, meditating on what is really important, and acting authentically.

Commentators recognize that transformative leadership is about modifying dominant beliefs (i.e. value systems) and operative values (i.e. social values) in the service of some end (i.e. principal objects). But they are not always clear that visionary leadership must unite people and overcome natural rivalries and differences. Only by activating ultimate values is this really possible. It seems likely that firms whose leaders pursue work in the visionary domain have the potential (but by no means the certainty) to succeed in a remarkable way. At the time of writing, Anita Roddick's Body Shop and Akio Morita's Sony come to mind. These successful enterprises are permeated by the visionary input of their leaders.

Limitation. Naturally, the success or failure of an organization in practical or monetary terms is not wholly a matter of visionary functioning. External events, unwise politics, ineffective strategies and chaotic people can scupper anything — but such problems are better dealt with in the presence of a vision than without one.

Absence or *failure* of visionary work need not lead to failure of the firm. If the proposed vision is unconvincing, unintelligible or non-fulfilling, staff will ignore it. Visionary work cannot be performed in a bureaucratic or dehumanized way, as an optional extra or a burdensome task. Visionary-sounding slogans blindly copied from a competitor or slickly produced to keep in fashion generate at best a superficial hysteria and are liable to provoke disbelief, cynicism and contempt for the leadership (cf. Ex. 3.14 in Ch. 3). Visionary work cannot be used as a quick fix to coerce productivity out of staff; and a vision as a public relations stunt achieves nothing.

Visionary functioning is necessary but not sufficient to develop the identity of an organization or a community. No vision can alone ensure its realization. For a start, although it recognizes external realities, it cannot grapple directly with pressures in the social and economic environment; and it is utterly divorced from daily activities. The next step is to ensure that necessary core values are properly appreciated and available for general and quasi-automatic application to strategic and routine decisions.

G-4³: Culture

Nature. There is always an external social context for functioning, and survival depends on responding to the values in this environment. So social bodies implicitly evolve or deliberately develop a suitable culture. The work here calls for clarifying, sharpening, explaining and maintaining values which define that culture. The culture ensures that people take up certain attitudes and use certain ideas, standards and priorities whenever appropriate and without being specifically instructed to do so. Culture permeates functioning because its *function* is to keep certain values prominent to fit the social environment and to maintain individuality.

Work on the culture is needed to ensure that the organization can thrive in its niche within society and that it is sufficiently distinguished from its competitors not to be ignored or crushed. The culture maintains *identity* and differentiates the organization in the eyes of both insiders and outsiders. Its tetrad encompasses the crusade and campaign triads: and work on the culture does involve crusades in the cause of the firm's necessary identity; and it does use campaigns to activate insiders. Cultural values, like it or not, influence the way staff feel about their organization and the priorities they use to design their systems and shape their everyday actions.

A culture starts from the exclusivity of a value system. So it has a quality of partiality and exclusiveness. It ends in the assertion of preference characteristic of internal priorities. So it has the potential to integrate and resolve conflicts.

Just as organizations have implicit visions, they have implicit cultures which can be deduced from observing actual behaviours, attitudes, beliefs and rituals. The real culture may be a long way away from the espoused culture. Staff specially recruited to fit the theoretical ideal soon adapt to the communal reality.

The *coverage* of the cultural domain must be partial because it is impossible (and undesirable) to modify all guiding values. Culture work should focus down on a particular area of organizational functioning and define a coherent and correct set of essential ideas to be installed. As a result, there is a need for a flow of culture modification projects. Examples include: to get the full benefits of computerization; to increase responsiveness to customers' views; to incorporate new approaches to organizing work. Management is the context for all work, so change in the management culture is the most global form of organizational modification. Such projects are often referred to as 'culture-change'.

Here are two of the vast number of possible ways to improve the management culture. (A) Introduce 'Quality Management'. This might be defined in terms of: customer-responsiveness, statistical process control, cross-boundary working, empowerment, reducing costs by improving quality, and stronger middle man-

agement. The origin of such a list in TQM writings is evident. (B) Introduce 'Values-based Operation'. This might be captured with ideas like: sharable values, organization-wide objectives, cooperation, innovation, genuine communication, fuller participation, individual liberation. A consultant might point out that unless 'self-discipline' is added to this list, the whole set is weak. Many organizations, perhaps most, might give lip-service to either or both of the above lists of values. However, to become part of the culture, everyone must work on them specifically and self-consciously.[20]

Organizations should be continually re-appraising the internal culture and considering whether or not new ideas are needed. Culture projects are of particular significance in medium to large organizations where staff are not only employees but also form a large public — an internal quasi-community — and where informal debates and discussions are insufficient. Consider for example the internal community in an average general hospital which numbers up to about 4,000 people; or in a large bank which might easily contain 30-40,000 people. In such cases, new ways of thinking are required of thousands of people before any new ways of doing can come about.

No one wants to follow a new set of ideas or to alter their habitual attitudes. So culture modifications, much less wholesale culture-changes, are never positively desired. There are four forces leading to change: the demand for a degree of achievement which cannot be generated within existing values; the convictions of a chief executive who views the existing culture as unsatisfactory; the obsolete or degenerate state of existing values; and the aspirations and morale of staff within the organization. Unless all four forces align, culture-change is difficult. If they are all present, refusal to change is potentially disastrous.

Work on the culture is urgently needed if the social environment — the market, the competition, government regulation — changes dramatically, because what is then important for survival is unfamiliar and seems almost unbelievable to insiders habituated by the previous set of values. If new values are not devised and instituted, senior and middle managers are at sea about how to handle ordinary situations and what, in former times, would be seen as straightforward problems.

Work on the culture may be needed if there are a confusing multiplicity of sub-cultures within an organization; or if there is a serious mismatch between external perceptions of the organization and internal views and activities (cf. Ex. 10.2).

Re-launching Dr. Barnados: Dr. Barnado's is one of the best supported charities in the UK because of its reputa-

tion for caring for orphans. But the reality is that it has long moved its efforts away from orphans to helping disabled and disadvantaged young people. Its logo suggested that it provided protective isolation, but its belief was that solutions should be found within the family and community. People saw staff as spontaneous 'care-givers', but the staff believed they were 'professionals'. Staff also felt that the orphan image was stigmatizing and cut the charity off from the community. Dr. Barnado, the founder, was imagined as a do-gooder, whereas the Charity's governing council wished him to be seen as a campaigning and radical figure. Projects operated with a variety of values and cultures, and conveyed different images through different slogans and publicity material. The determination of a set of core values was therefore needed to create coherence. It was essential to get insiders to agree to the new identity implied by these before publicizing it externally. **Ex. 10.2**[21]

Wherever they may stand in the managerial hierarchy, each member of staff is equally valuable in the organizational community and has a part to play in successful achievement. The community quality is evident in the reaction of outsiders who perceive the receptionist, the salesman and the managing director equally as representative of the organization. Each staff member has urges to be loyal and needs to belong at work. By harnessing such motivations, firms can mould and shape views, perceptions, and preferences. Beliefs and feelings can be positively managed in a way that is not possible in wider society. Firms can, for example, use rigorous recruitment and induction processes and re-socialization strategies.

Despite all the talk of culture-change, there seems to be little understanding of what is involved in introducing new ideas.[22] Most businesses do not appreciate the need to manage their individuality positively. It is not uncommon for most staff not to know what the firm stands for or even what it does. When the Prudential Corporation's identity was being re-developed, staff were found to have a low opinion of their own company and to lack confidence in it.[23]

Content. The *essential rationale* for a culture is found in value systems (L-6). Without certain beliefs about the organization, ideas about its distinctive place in society, and theories about its modus operandi, there is no logic or sense to individuality. For example: when John Sculley joined and then ousted Steve Jobs as chief at Apple Computers, it reflected the need to replace certain ideas, appropriate and even essential for a small innovative company, by those befitting a global corporation. Beliefs about how the business is conducted are also relevant to acceptability in the community. It is impossible to over-emphasize the importance of certain minimum standards within the firm. Minimum standards protect and affirm identity. Such standards of

civility or training or helpfulness or fairness may be vital to success. When something has to be achieved 'at all costs' and minimum standards are not clear, then moral and even criminal violations are likely and functioning deteriorates.

Any organization must take the wider community into account; and all within it should see themselves as a specialized part of that community. So *political support* for the culture depends on an astute choice of social values (L-5). A new agency set up solely to purchase and plan health care, for example, was naturally concerned with the quality and efficiency of services, but sought to win support and distinguish itself from hospitals by emphasizing instead its sensitivity to community views and its close contact with small localities. Such choices always feel risky because different individuals (or sub-groups) tune into different social values, and all are acutely aware of the power of public opinion. In the case of Dr. Barnado's (Ex. 10.4), for example, there was considerable uncertainty about whether the change of emphasis away from the needs of orphans might be publicly unacceptable and so hamper fund-raising.

Principal objects (L-4) need to be chosen which *maximize the impact* of culture. This may refer to specific projects or initiatives, or the re-shaping, even re-defining, of the nature of various services or activities in the light of key ideas. There may be implications for the (re-)structuring or resourcing of operations, or the strengthening of particular disciplines.

Finally, culture must bed down in the assertion of certain values as priorities (L-3) *appropriately adapted* to the circumstances. In the case of Dr. Barnado's (Ex. 10.4), the handling of fund-raising appeals and community projects should alter in ways that reflect the influence of the new values. If a business wants more cooperative working and greater attention to overseas clients, then decision-making should take place with this in mind — but not every decision should be joint, nor should overseas clients always be favoured.

A culture is not about the pre-specification of priorities (much less expected outcomes) by the leadership. It is about every decision anywhere in the organization being directly affected by generally agreed values. The functioning of this domain and its contribution to achievement stands or falls on whether needed cultural values are being realized everywhere by everyone at all times in a quasi-automatic, unforced, constructive and appropriate way. If activities are not widely and routinely influenced by needed values in this way, then the old culture and identity will persist in practice and all that has happened is the creation of a false image.

Social Process. A culture contains values which define 'what we have to be'. People do not hold and use values just because a higher authority wishes it; and they cannot readily be made to alter their beliefs and attitudes just because the organization's environment is apparently altering. Nevertheless, if it is brought home to them that the survival of their organization and their job is at stake unless they understand and apply certain new ideas and share certain values, then they will be disposed to alter what they think is important.

The *method* used when modifying the culture is one of deliberately defining new values as a pragmatic necessity. The introduction of these ideas is necessarily difficult. Whereas visionary work excites and liberates, cultural work channels and binds. The challenge is to ensure that what is at root an indoctrination process is sufficiently acceptable. Ideals, crusades, campaigns, initiatives and even directives all have a part to play in driving through the change.

Paradoxically, many people do not object to having values forced on them so long as the ideas have an unambiguous rationale and are not an irrational or tribal imposition. The *engagement* process is one of arduous and even painful self-indoctrination. So work on the culture must feel essential. When this effort is successful, the natural *response* is pride. Pride will never develop if the culture work feels like an exercise stimulated by the latest fad. Of course, if the new ideas are objectionable or truly alien, then people will not be able to pay attention. Either they will covertly sabotage changes, openly rebel and ridicule the ideas, or leave the organization.

Communication, vital in all domains of functioning, is primarily a matter of dissemination here. The new ideas which are the rationale for the change must be re-stated, re-affirmed and re-explained. Attention on them must be maintained by initiatives and demonstrations whose results are publicized and openly talked about. Culture is a communal property, so the content of communications must be suitable for everyone and the process handled in a way which respects and affirms the equality of all.

The initial work on culture involves teasing out the key ideas which provide the logic and rationale for the required attitudes. This may take place in various ways, most usually in a small top level working party perhaps assisted by external consultants. The values must be memorable, so it is advisable to have no more than 5-7 which together can be given a label.

Once these (L-6) values are identified, the next task is to gain top level commitment to them. Unless and until the chief executive sets an example and is backed by the board, all subsequent efforts are futile. Leaders

must deeply believe that a modified culture is absolutely essential — if it is only desired or hoped for, then the work involved will seem too difficult and distracting. Once conviction is present, then the organization can be mobilized and an evolutionary process of change via self-indoctrination can commence.

Failure is certain if culture-modification is turned over to a specialist department, like training or planning, or if it is assumed or hoped that external consultants will drive the change. Other warning signs are a refusal to allocate enough time or money, denial of the difficulty of change, and expecting results overnight.

People in groups have to appreciate why the new ideas are required, explore what the cultural values mean to them, examine what the obstacles to realizing them are, and suggest the sorts of things they must do to change the culture. Negative and cynical views need to be permitted and worked on forthrightly. Subsequently, breach of a cultural value should be deemed a crisis and managed as such.

In the nature of things, resistance to value change is great and so culture is generally poorly handled. If full-scale culture-change is required then top management should orchestrate an internal movement (see Box 12.1: Ch.12).

Specialized Work. The cultural domain floats above the realities of action and provides a context for strategic moves. Attitudes and values channel the spontaneous loyalty and automatic responses of staff. So leaders should be deeply and continuingly preoccupied with culture. However, because a dysfunctional culture does not present an immediate threat, the specialized work and skills to introduce, explain and support cultural values tend to be neglected.

Internal communications are central to maintaining awareness of the process and progress of value change. Staff are continually changing in large organizations, so values defining the desired culture must be explained in induction programmes and persistently communicated and discussed. Otherwise the values may be forgotten or fall into disuse and the culture degenerates.

Communication here differs sharply from inspirational explanations of the vision; and it is nothing like conventional management briefings oriented to getting people 'signed up' and 'on board' to do things. Here, communication must be carefully designed and crafted to give identical and easily understood messages to every member of staff. Top managers must decide what is to be said, but the skills of saying it are those of a journalist, not a manager. Such communications are best handled by the public relations function. The con-

tents of all their internal communications should be permeated by the needed cultural values.

Common sense says that staff should not be kept in the dark but should be receiving a flow of information and comment about anything and everything with organization-wide significance. But many boards and chief executives never imagine communicating identically with all their staff. The result is that the community spirit cannot be mobilized when the firm is under threat. At the time of the Australian Elders IXL bid for the UK giant Allied Lyons in the 1980's, the Allied Lyons board found it had no way to communicate its position to each member of staff.

Most activities within public relations — community relations, staff relations, government relations, media relations, investor relations, charity appeals, catastrophe management — cannot be handled sensibly without a sense of corporate identity which is genuine. Public relations specialists have emerged with increasing recognition of the importance of developing and communicating corporate identity and corporate values. It is a misfortune for everyone that PR is still expected to be peddling hype, gloss and positive stories.

Other departments like marketing and personnel also need to be involved in clarifying individuality and are concerned about culture. However, it is all too easy to confuse true individuality with false self-promotion, and staff loyalty with industrial relations management. Marketing is particularly restricted because its logic derives from attracting customers for the outputs of the operation. Personnel work is primarily about the efficient use of staff as employees, that is to say, its focus is on staff as the human resource, rather than on staff as a sub-community of the wider comunity. Neither marketing nor personnel has a natural responsibility for things like the philosophy of the organization, the beliefs staff hold about it, the handling of local community politics, or crises of confidence in the integrity of the firm — all of which are central to cultural management.

The cultural domain and public relations work are poorly recognized in most public agencies: perhaps because of bureaucratic insensitivity to users or consumers, and the inertia and arrogance of publicly-funded authorities. However, both central and local governments are increasingly using public relations consultants to help them relate to their own citizens and others.

Limitation. Work in the cultural domain may *fail* for a variety of reasons. The commonest mistake is treating it as an optional extra to be addressed in the

indefinite future and kept apart from immediate pressures. Culture must be understood as defining the way immediate pressures are or should be handled. Focussing on what the culture should be like often seems to pose great problems. A diffuse and incoherent list of values is counter-productive; and simplifying by focusing on just one value is equally confusing and unsatisfactory.

Culture must be continually developed to be strong, to be realistic, to remain abreast of competitors and to engage effectively with wider society. If new ideas are simply copied rather than discovered from within, then the identity asserted is likely to be unsuitable, if not plain false.

Often the whole process is not taken seriously enough: key ideas in the identity may be launched with a fanfare, but the values are subsequently poorly sustained and inadequately buttressed. The notion that glossy marketing can substitute for genuine individuation parallels the quip that 'sincerity is the most important thing, fake that and you've got it made'. Pride in the existing culture can reflect arrogance and insensitive or inappropriate self-satisfaction. If the firm's leaders regularly violate their own values, a mood of cynicism develops; and this occurs even if the better people can create islands of integrity.

Cultures distinguish enterprises and give a sense of pride and meaning to those involved as they go about their daily activities. Cultural incompatibility is the main reason that mergers fail and takeovers are the norm. Although a suitable culture is needed for survival, it is not sufficient. Alone, the culture does not guarantee that the organization will thrive in the face of competitors or resource shortage. Functioning requires an investment in the future, greater attention to social needs and the market, and the determination of worthwhile or profitable outcomes.

G-4^2: Growth

Nature. Growth aims to ensure continued successful functioning. It engages directly with the reality that the future is likely to be different from the present. For businesses, ensuring profitable growth is far harder than cutting costs. Costs are tangible and relate to current operations, while growth is about investing in an inevitably uncertain tomorrow.

Misconceptions about growth are many. Growth is often referred to as 'development', but many developments are about improving or altering the vision, modifying the culture and rejigging the operation. Growth is often assumed to be about becoming bigger, when it may involve shrinking, diversifying or modify-

ing the enterprise. Growth is often equated to increasing profits whereas it is really about sustaining profit (unless neglect of growth has led to falling profits). Growth is often referred to as 'strategy', but it is less confusing to regard strategy as the means to achieve challenging growth objectives. Growth is often defined as a meaningless numerical 'target' (e.g. increase sales by 10%), rather than given a workable substance (e.g. generate an extra 10%-20% in sales by introducing a service component to all products).

Growth, as understood here, demands clarity about what social values need to be pursued and beds down in strategic objectives which define specific worthwhile achievements. So growth requires attention to social forces and emerging needs — the direction of technology, trends in consumer preferences, movements of competitors and the industry as a whole, government pressures and regulations, and market evolution. If such things can be anticipated and responded to, the organization can substantially strengthen itself. At the same time, growth-based responses to society's needs and pressures potentially strengthen wider society too.

Because growth gains its logic from social values (rather than principal objects), it tends to cut across internal structures (e.g. divisions of the operation, headquarter departments, disciplines) even if these structures were originally designed to align with needs. Growth also ramifies across organizations within a society. Primary health care, for example, is about the need for people to have direct care for their health without depending on referral to hospital or other specialist services. A proper response to that need in the UK involves the cooperation of numerous bodies including family physicians, family health service authorities, district health authorities, hospital trusts, pharmaceutical and appliance firms, social services, voluntary bodies in health care and related fields — and even patients themselves. Similarly, community developments like urban renewal seek to create organizational networks including local government, private firms, churches, voluntary bodies and community action groups. Getting such networks to engage in joint planning and generate the needed development is never easy.

The same need for cross-structural cooperation to benefit society applies at the governmental level but here the difficulty increases: inter-sectoral developments which cross ministries are much talked about, rarely attempted, and almost impossible to implement.

In the business sphere, growth must start from an intense focus on the precise nature of customer needs. The importance of alliances and joint ventures with other firms in meeting these may then become evident.

For example, the single market in Europe means that bank customers in one European country are increasingly going to need sophisticated and related banking services in other countries where their home bank is weak. Without well-developed alliances between banks in different countries, the efficiency and quality of service will be low.

To summarize: the *function* of growth is to re-define endeavours to meet social needs and to bring benefit internally.

Growth should be generated in accord with the spirit desired by the vision, and in accord with the culture. So its relation to *identity* is supportive. Growth, however, must take full account of tangible realities if it is to strengthen the organization and sustain achievement. Whereas work on the culture and vision can occur more or less in its own time, the timing of growth is often crucial to success. Windows of opportunity must be seized. Moving too quickly or too slowly can negate months or years of effort.

It is impossible for everything to alter at once, so the *coverage* of growth proposals must be highly selective. The knack is to have a sense of precisely which area is crucial. Should licensing be arranged? should new markets be found? should the range of products be altered? should vertical integration be pursued? should a gap be filled by acquisition? To answer such questions requires careful thought. Such strategic thinking is holistic and intuitive, and must be based on a first-hand knowledge and feel for the realities.

Growth is about strengthening the whole organization while benefiting the wider community. Development programmes in third world countries, for example, are viewed as a good thing for the international community. Global benefits like political stability and trading opportunities are envisaged, as well as assistance for the local populace. The same is true in businesses where the wider community will find that their development leads to benefits like more reliable products, employment opportunities, a better trained work-force, or better use of derelict land. Exploitative growth can occur and may succeed for a time, but eventually there is a political back-lash or the environment is so despoiled that the firm must choose to move on. Sensible long-term growth puts certain core needs in the context of a range of relevant interconnected communal values and ensures harmful side-effects are kept to a minimum.

Growth initiatives being inherently cross-structural cannot be used as a basis for structuring the organization. A common mistake in large organizations is to attempt to do so. The hope is that this will expedite progress by focusing line-managers and avoiding the need for project management and multi-disciplinary working. However, line-management ought to be designed to align with operating requirements. It takes its logic from the need to control activities and expertise by dividing them up, not from growth of the whole organization. Only occasionally will activity control fully coincide with the growth focus. Anyone simultaneously in charge of coordinating cross-operational development and managing implementation within one of those operations is liable to favour the contribution and demands of his own operation, and misjudge or downplay the contribution and problems of divisions or agencies led by others. This stance reflects unavoidable unevenness in knowledge, self-interest and pragmatism.

(It is, of course, possible to talk of growth within divisions or departments — just as these may have their own local cultures and local visions. Indeed, if responsibility for values and objectives is not devolved in large organizations, there is sure to be over-centralization with paralysis and stagnation.)

Content. The *essential rationale* for growth is sought in social values (L-5) — often in one single emotionally-held goal. For example, a business development may be rooted in 'industry's need for capital'; a health service development may be rooted in 'the need to be more responsive to patients'; and a community development may be based in 'the need for sporting opportunities'. Values like these are placed in the context of generally recognized social trends and communal values. As a result, growth starts from a consensual and unarguable basis that is positively desired by insiders and outsiders.

Political support for growth depends primarily on winning over insiders from the various agencies or departments involved in delivering the development. It is obtained through defining types of activity, i.e. principal objects (L-4), which are politically acceptable to the stakeholders. Using the above examples again, the principal objects might be 'to create a venture capital division', 'to introduce a hospital-at-home service', and 'to provide sports-training for the disabled'. Alternatives are possible in all cases and the objects chosen, including decisions on structures, staffing and funding, typically become foci of controversy.

Maximizing the impact of a growth proposal depends on its internal priorities (L-3). Choices about the type of new ventures supported, the amount of capital to be provided, the degree of risk tolerated and similar matters will determine the outcome of any venture capital endeavour. In the sports-training development, priorities like the choice of disabilities, the choice of sports, the choice of venues and so on will determine its

impact.

Finally, growth must produce something which is *appropriately adapted* to the situation through its selection of strategic objectives (L-2). Specification here beds the development down in the actual realities, indicating what achievements are aimed for over a period of time, at what approximate cost, with what financial return or benefit, and by which agencies or sections of the organization. Some adaptation to circumstances and different perspectives of the various divisions or agencies is invariably required. These objectives must be seen to be feasible in order to gain the cooperation of those involved in implementation. In the case of the hospital-at-home programme, the objectives might state numbers of cases to be treated, training for staff to be instituted and specific cost savings.

Social Process. Growth stems from values and objectives which define 'what we could be'. It is about investing in the future. Explaining the process surrounding its handling is a mainstay of much management education. But too often its essence is omitted or downplayed amidst a mass of detailed techniques and principles.

As in all the domains, the leader's role is crucial. Here it concerns the strategic thinking that should precede and infuse the planning process. This thinking must guide and monitor explorations and investigations which put flesh onto the specification of purposes. Finally it ensures adoption of a particular course of action. Whereas a detailed grasp of the realities is unnecessary in the higher domains, and is inescapable and straightforward in programming operations, appreciation of reality is essential and yet difficult here.

Interpretation of information is paramount. Need-driven inquiry is the core *method*. The leader's strategic thinking must be stimulated, assisted and checked using information and analysis in an iterative process. It is worth re-emphasizing that, although good information and research-based principles are invaluable, there can never be a simple procedure or theory which will automatically generate the correct information or logically ensure successful growth. In exploring growth, disciplinary analyses come to the fore: the financial implications, the personnel implications, the marketing implications, the legal implications etc. must all be considered. Suitable *engagement* of key players and their analyses of organizational realities should be based on their own self-interest and on their willing and full cooperation. Otherwise the process is mechanical and dead. Growth clearly depends on a sense of shared values and a capability for considering and delivering on organization-wide objectives.

Communication here is essentially a process of exploration: of views, of hunches, of situations, of alternatives, of implications. It occurs in one-to-one meetings, small teams, project groups and participative time-outs. The *response* to this process, if the proposed development seems worthwhile, is a growing sense of determination to flesh it out and see it through. People become disappointed and disaffected if growth appears to ignore their interests, concerns and perceptions of reality.

The present popular recommendation of management experts that companies should start from customer needs or be market-driven (rather than being technology- or product-driven) is equivalent to a reassertion of the importance of social values as a rationale for development. The present analysis supports and explains this emphasis and reaffirms the importance of cooperation to deliver on social values. It also clarifies that the nature of products or services (principal objects) is inherently controversial quite apart from the specific outcomes decided upon. Managing that controversy requires the use of planning skills.

Specialized Work. A desirable and feasible direction for growth can always be devised for a business if it looks carefully and purposefully at the company itself (its vision, culture and strengths), its customers, its costs and its competitors. Nevertheless, companies often use management consultants to do such quintessentially internal work for them. Work on growth is often called planning, and the output called a strategy: growth is indeed the realm of strategic planning as distinct from project or operations planning. As already noted, expert knowledge and competence come into their own here.

Leaders require disciplinary specialists to complement their own understanding and to assist in the various analyses. The logic of work in relation to growth affirms that any person with relevant expertise within the organization may be involved in or may take a lead in a particular development. Housing improvement requires experts from construction, architecture, town planning, loan finance and other disciplines. Tourist developments demand inputs from people experienced and knowledgeable in the leisure, conference, hotel, entertainment and travel trades.

Because growth crosses structures and involves a wide range of people in a somewhat messy way, it is a risky and complex matter. As a result, an organizational discipline has emerged based on the need to stimulate strategic thinking, to organize the inquiry process, to ensure proposals are realistic and acceptable, and to assist with and monitor their implementation. This is the planning function. Planners, sited at headquarters,

typically emphasize the inter-dependence of parts of the organization or network. They seek consensus and resolve conflicts by using the four levels of purpose which define growth (but, of course, not necessarily using my labels). Where the focus is on facilitating cooperation among community agencies, the specialist role is sometimes referred to as a policy-maker or social planner.

Planners need to have personalities which are participative and rational, with just a hint of idealism. They must have an eye firmly fixed on the future without ignoring the present. Good planners seek to balance individual and organizational aspirations. It is essential that they reconcile the enthusiasm of experts in the development with the problems of management and the realities presented by those responsible for operations. If possible, they should find some way of gaining direct contact with the customer or consumer.

Planners in centralized departments all too easily generate forecasts and strategies which are utterly unrelated to the main operations and disconnected from a holistic view of the enterprise and its social environment. Producing planning documents then becomes an end in itself. The leader remains aloof while planners and line-managers denigrate each other and compete for power.[24]

Limitation. Success here determines the medium to long-term health of the organization. So *failure* can coexist with high levels of current profitability. Risk is inherent in growth and proposals may fail even though sensibly developed and pursued. Failure which flows from misunderstanding or blatant mishandling of the nature of growth is less excusable.

Developmental failures are commonly based on a misperception of the realities which leads to an inadequate definition of the problem, insufficient funding, weak analyses or omission of key groups in the planning process. The need for fairness amongst those involved in planning a development is a paramount consideration: both government-sponsored joint developments and joint business ventures still tend to fail on this account.

The boldness which needs to accompany the selectivity required for growth may be frightening. Multiple small changes which are little more than disruptions or 'add-ons' are safe but do not strengthen.

Growth must be an organic and evolutionary process not an intrusion. It seems reasonable to suggest, for example, that proposals for dams which make hundreds of thousands of people homeless, without considering their views and needs, might reflect a failure of

development whatever their technological and economic merits.

Growth is about determining what should be done and by whom, but such proposals do not actually get things done or change anything. Existing operations must be systematically altered to produce new tangible outputs while maintaining ongoing activities. Society needs these outputs and depends on the operations of a multiplicity of organizations. Operations make functioning tangible because they are about the performance of activities. We must now move down to this final familiar domain.

G-4[1]: Operation

Nature. The operation is the common pathway for all functioning and reveals the true nature of the organization. Operations must not only embody the vision, express the culture and deliver developments, they must also sustain the enterprise. The income from operations (or allocated for operations in the public sector) must support work in the higher domains.

The *function* of an operation is to maintain performance which efficiently produces valued outputs.

Operations comprise the activities of front-line workers as organized by managers. Building on clarity and consensus about types of activity (principal objects) and important considerations (internal priorities), the operation reaches down to define numerous outcomes (strategic objectives) and tasks (tactical objectives). It surely goes without saying that all organizations need operations which are task-oriented, tightly specified, cost-focused and targeted at time deadlines: in short, programmed. This also applies to projects within the operation in which challenging objectives need to be taken seriously. ('Project management' is a technique or tool which emphasizes goal-directedness and programming.)

Operations need to be sharply time-based and carefully constrained financially because they bed down in tactical objectives and consume resources. They are usually programmed on an annual basis, with activity plans linked to budgets. In larger organizations, short-term operational programmes may be produced looking 1-2 years ahead; medium-term programmes incorporate developments taking 2-5 years to implement; and long-term programmes imply 5-10 years of continuing implementation. Sometimes the longer-term programmes are confusingly referred to as strategic, a term better left for growth proposals.

The operation confirms (or disconfirms), substantiates (or makes a mockery of), solidifies (or under-

mines) *identity* as expressed and promoted by work in the higher domains. The energy injected into any operation depends greatly on the quality of the visionary, cultural and growth domains. However, work in an operation has its own potential to produce a deep sense of satisfaction for those involved. Doing things well can be profoundly gratifying and this is true whether or not anyone wants what we do. Outsiders who depend on the operation also feel satisfied if it is well run. Correspondingly, operational failures can generate the most intense frustration.

The *coverage* of an operation is comprehensive and its details are easily specified and quantified. Documents spelling out an operational programme tend to be rather full and require careful study to be absorbed. But programmes cannot be complete in every detail: a full account would be unreadable. It would assume an impossible degree of management control. Simplification is needed to ensure accounts, schedules and activity expectations are useful and comprehensible. However, too much summarizing prevents the programme being used for guiding the staff involved or for subsequent monitoring.

Content. The principal objects (L-4) of an operation serve as its *essential rationale*. For many organizations, the operation defines its basic nature. Producing goods and services is both the object of businesses and the essence of their operation. By contrast, operations within other types of organization are supportive rather than primary. For example, production of an annual atlas of environmental changes and pollution effects may be an operation which is just one supporting aspect of an international body's primary goal to design and disseminate a vision for planetary protection.

Political support for the operation depends on the specification of internal priorities (L-3). Prioritization leads to differential allocation of resources and changes in functioning. This must be managed to minimize arguments and discontent amongst staff. A firm introducing new computer technology, for example, must determine which departments will be computerized first. Refurbishment in a retail store will lead to disagreement about priorities in both sequence and amount allocated for the different sections. In marketing within a food processing firm, there is liable to be disagreement about how much should be spent on advertising each product line.

The suitable choice of strategic objectives (L-2) is vital to *maximize the impact* of an operation. These objectives are primarily driven by ongoing activities and local developments. But they must also be tailored to accord with growth objectives. When operational managers in firms define objectives, they do so with an

eye to smooth trouble-free implementation. By contrast, membership-centred bodies often define impractical strategic objectives because they tend to distort realities under pressure from their members' concerns about status and their feelings of self-importance. The Royal College of Nursing, for example, needed to respond to the introduction of general management into the NHS in 1983. The chosen option, to block implementation by devoting £1 million to advertising, was unrealistic and antagonized the very groups on which nurses depended — politicians and general managers. A far greater impact might have been achieved through promoting new powerful roles for nurses to complement general management.

Finally, operations need to be *appropriately adapted* to circumstances by specifying tactical objectives (L-1) which deal with contingencies and practical demands in precise detail. It is impossible to specify every tactical objective, but the essential steps or milestones towards realization of the strategic objectives must be clear, together with the time-scale and costs generated by these steps.

Social Process. The operation contains values and objectives which define 'what we will do'. It reveals how the organization becomes what it claims it intends to be. Most staff are primarily employed to manage or work in the operation. Work on operational objectives depends on the experience, competence and immediate knowledge of managers, supervisors and front-line workers. Managerial work involves getting things done, and the essential *method* is pragmatic. The operation can only continue to function if innumerable problems and crises are swiftly handled, and if political issues are skilfully worked around. Objects, priorities, strategies and tasks must be defined and re-defined to meet practical requirements.

Involvement of a person in setting purposes within the operation is determined largely by the level of responsibility assigned to a post. If the operation is viewed as a whole, then it is clear that most staff are expected to deliver against tactical objectives. The chief executive must determine all higher level values and determine strategic objectives together with a strategy to realize these. If the organization has a head-quarters above operational subsidiaries, then this headquarters should only orient, direct and resource the operation, setting strategic objectives but not getting involved with programming operations to meet these. However, if intentionality is to pervade the organization as indeed it should, then those at lower levels must be assumed to be capable of working with the higher levels of purpose in their own spheres of responsibility. This means that staff within operations must determine the vision, cul-

ture and developments for their section — within the wider picture.[25]

Work within the operation can be a mechanical affair in comparison to work in the higher domains because the operation is essentially instrumental, a means to an end. So *engagement* with its values and objectives is at root a matter of conscientious performance. Managers usually feel relieved by an agreed programme because they then know what is expected of them and why. For many, the impersonalization (or depersonalization) seems to be natural, even a relief.[26] But it is probable that neglecting higher values and over-valuing instrumentality has long-term ill-effects for the person and society as well as for the organization.

The type of *communication* that characterizes operational work is a briefing. Briefing is a two-way process. Managers must be briefed about immediate realities and possible problems by subordinates, while subordinates must be briefed about key objectives, priorities and other values by managers. The briefing process informs and involves people in decisions, as well as getting them to do things. The *response* to an adequate briefing is a feeling of being in control. Unsatisfactory briefings, whether in content or quality or timing, generate a feeling of helplessness, frustration and irritation.

Specialized Work. It is one thing to programme operations for a coming year, and quite another to deliver the results. The specialized work here is management control. It may be unproblematic in small outfits with 30 or so staff, but it becomes far more difficult when hundreds or thousands are employed in the operation. Such large complex organizations have many disciplines and departments (or 'functions') plus several levels of management even if the hierarchy is kept flat.

Proper integration of the work of departments and disciplines requires a higher unifying function called general management.[27] In lower organizational tiers, however, direction-setting, teamwork and coordinative roles must be used to ensure that people in different disciplines work separately and together in an efficient and effective way.

The management control system must be wholly oriented to operational requirements. In relation to vision, culture and even growth, the limitations of information have been emphasized. But here at last information really comes into its own. Activities and events can be counted and analysed. Efficiency, productivity and quality can be calculated. Statistical process control means something. Computerization can

streamline operations and alter their nature radically. Rapid access to information can increase adaptation to client requirements and can enable accurate evaluation and feedback. Information technology specialists typically view the operation as a vast information system. Like general managers, they are preoccupied with the whole. Nevertheless, information alone does not resolve priorities.

In a large organization, programme preparation is a responsibility of senior and middle managers. Operations require an annual budget-and-planning cycle in which planning and finance directors collate information, provide guidelines for use by general managers, and coordinate the production and presentation of a programme to the governing board. The cycle is: programming–budgetting–operating–reporting leading to re-programming if necessary. However, much of the process is informal using memos, conversations, special meetings and ad hoc instructions.

Closure. *Failure* of an operation can have many causes. But it is always a bad sign because it is a prelude to collapse. The origins of failure may be external to the firm or found in higher domains. However, the operation itself can show a wide variety of problems. Failure to structure effectively, the absence of proper programmes or project management, confusion about objectives, and hurried ineffective briefings are all common. They cause delays and over-spends, or even total blockage.

Work on the operation is inherently challenging. So any absence of managerial dynamism and drive produces general chaos and loss of focus on what the operation must achieve to keep the organization functioning.

With the provision and implementation of a suitable operational plan, values are embedded and embodied in functioning. So identity is established within the organization and (simultaneously) within society. Tangible and intangible goods and services of every possible type are produced for society. If the other domains have been effectively handled, functioning is secure. Logically and intuitively there is no further domain to consider.

REVIEWING FUNCTIONING

We have now considered the four domains of functioning — with their core purpose derivatives: the vision, the culture, growth, and the operation. The four domains are linked through their relationship to identity — defining, maintaining, supporting and solidifying it respectively. The four domains are also linked through their function in the community within and without organizations — transforming, differentiating, strengthening and sustaining it respectively. Each

domain has three levels in common with its adjacent domain, and all share principal objects. The objects of any endeavour or organization (which define its unique types of activity) emerge as the lynch-pin for functioning and for the maintenance of values and identity.

Practical Implications. All organizations must function. To do so successfully, leaders clearly need to have some concern with all domains. This means tackling the existential and personal dimension via a vision, grappling with the communal and attitudinal dimension via the culture, addressing the development and multi-disciplinary dimension via growth, and managerially gripping and programming the activity-based dimension defined by the operation.

Functioning is the motor of society, endlessly turning to deliver value for the individual and for the greater good. The enlightenment of society is revealed by work on visions with their potential to transform. Society's standards are revealed by the internal cultures of organizations. Society is strengthened by the vigorous growth of organizations and alliances between them. Finally, who we are and how we live is finally revealed and sustained by operations.

In a typical business, the vision can unite and energize the firm, creating a link between high ideals and the activities leading to its products or services. The firm then needs to create a viable culture, to chart a growth course, and to manage its operations. Culture ensures that the firm has a distinctive individuality that suits its environment. This involves its staff sharing certain beliefs and using certain values in devising and working systems and procedures affecting routine activity. Growth forces a focus on customers and their needs. To meet these, cooperation within the firm is required, and possibly alliances with other firms. Operations must be programmed in such a way that customers are found and the service or product is produced at the right cost and at the right time to match their needs.

Organizations of all sorts, not just businesses, must deal with all four domains to function and to thrive. Staff who progress up the career ladder to headquarter organizations often take their operational habits with them. The new ways of thinking and relating, required to institutionalize a vision or culture and to enable growth, are difficult to develop unless they are widely supported and understood. Many staff simply but mistakenly view the headquarters organization as another operation while revelling in their elevated status.

Considerable effort and resource may be required for an organization to work effectively in the higher domains, but increased energy and profits are released by success there. Leaders must ensure that visions, culture, growth and operations are integral to their own work and the work of the main line, and are not hived off or dumped elsewhere. Disconnection means energy and resources are dissipated, morale weakens and the quality of the output deteriorates.

There seems to be a particular affinity between the two odd domains and the two even domains. Visions must contain the seeds of growth possibilities and growth must forward the vision. In practice, the term 'vision' is often used confusingly to cover both domains. Operations are the prime locus for cultural values. The close linkage here is what makes culture change difficult: people feel that the new values stop them getting on with the job.

Leaders in business and politics who are insulated in their headquarters have a disturbing habit of becoming disconnected from the real work. They then expect all the supporting disciplines to deliver on their own. But a disconnected public relations or organization development department (or even external consultants) cannot deal with culture change without the leadership. Concerns for growth may lead to a large planning department but if ignored by the leadership its output is counter-productive. Concern to monitor operations and reduce risk may spin off a vast IT empire, but if the leader ignores the output, then there is waste and discontent. Such leaders then scapegoat their own departments, thereby reducing morale further.

Complacency and a denial of the need for improvement is the enemy of effective functioning. Yet many organizations — businesses, voluntary bodies, public sector agencies — only see the need for the operation and its rudimentary development. Part of the reason for this is a lack of awareness of the importance of self-conscious work on their own identity. People must learn to view the whole as well as focus on parts, develop a concern for the essence as well as take advantage of the obvious, and see all actions as inherently manifesting values.

It is evident that the highest levels of value, value systems and ultimate values, play no direct part in determining either growth or operations which are the main preoccupations of businesses. It is primarily up to organizations of other types to create a society in which higher values are properly recognized. We have said little about these, but they play a vital role in sensitizing businesses to values.

At present we are seeing an increased focus on such things as leadership, identity creation, customer-sensitivity, community relations, cross-functional working, and the management of pluralism. Correspondingly aca-

demic pundits and management consultants are speaking increasingly freely and dogmatically about work on the vision and the need for culture change.

Transition. If functioning is assured, then potential can be realized and identity consolidated. All organizations recognize that their identity implies and expresses a social role. However, it is evident that the social role of most organizations is far more constrained than the domains might seem to suggest. This is because individualism and self-interest, often of the unenlightened variety, are the bed-rock of organizational survival.

A free society gets around this obstacle by allowing and expecting people to form organizations of many different kinds, each with its own limited and definable contribution to society. So, as well as firms which exist to create wealth for their owners, there are many other sorts of bodies. For example, some seek to influence the policies of businesses. Others work to benefit their members who are distributed within many organizations. Still others are concerned to develop worthwhile ideals, to set minimum standards authoritatively, to benefit minorities, or to improve society in some other way.

Before considering the remaining groupings of levels of purpose in Ch. 12, it is appropriate to turn to a classification of such organizations based on the social role implicit in their functioning.   ❄

Master-Table 34

Properties of the four domains of functioning.

Functioning ensures that values are enduringly expressed in activities. Each domain of functioning is formed by conjoining purposes from four adjacent levels. Adequate functioning sustains achievement and consolidates identity in organizations, while at the same time, affecting the communal identity. See text for further details and explanation. See Master-Tables 35 and 36 for a related classification of organizations.

Tetrad No. (Levels)	Domain of Functioning	Function	Identity Relation and Communal Function	Social Process: Method Engagement	Special Work and Leadership	Communication and Desired Response	Failure is likely if:
4 (Ls 7-4)	Vision	To establish a framework of enduring values which inspire people and guide all work.	Defines identity and transforms the group because driven by ultimate values.	Personal: Reflective soul-searching which depends on: Spontaneous ownership.	Develop commitment, loyalty and enthusiasm in an open participative way, which requires: Transformative leadership.	Preaching the essence: *what we want to be!* leading to: Excitement.	Uninspiring Unintelligible Unfulfilling Dehumanized Woolly
3 (Ls 6-3)	Culture	To keep those values prominent which fit the social environment and maintain individuality.	Maintains identity and differentiates the group because driven by value systems.	Communal: Deliberate self-definition which depends on: Arduous self-indoctrination.	Use public relations to foster equal understanding and widespread adoption, which requires: Communicative leadership.	Coherent, correct current dissemination: *what we have to be!* leading to: Pride.	Incoherent Unenforced Superficial False Diffuse
2 (Ls 5-2)	Growth	To re-define endeavours so as to meet social needs and to bring benefits internally.	Supports identity and strengthens the group because driven by social values.	Disciplinary: Need-driven inquiry which depends on: Self-interested cooperation.	Use planners to stimulate ideas, to coordinate inquiry, and to evaluate possibilities, which requires: Strategic leadership.	Selective exploration in a holistic way: *what we could be!* leading to: Determination.	Impossible Simplistic Intrusive Comprehensive Data-driven
1 (Ls 4-1)	Operation	To maintain performance which efficiently produces valued outputs.	Solidifies identity and sustains the group because driven by principal objects.	Managerial: Pragmatic handling which depends on: Conscientious performance.	Exert management control to cost, program and monitor activities, which requires: Accountable leadership.	Briefing — terse but comprehensive: *what we will do!* leading to: Feeling in control.	Inefficient Uncoordinated Underresourced Chaotic Inflexible

NOTES

1. An extensive literature now exists attempting to describe ideas behind current society, using labels like modernity, modernism and post-modernism. See, for example: Hagan, E.E. *On the Theory of Social Change.* Homewood, Ill: Dorsey, 1962; Giddens, A. *Modernity and Self-Identity: Self and Society in the Late Modern Age.* London: Polity Press, 1991. Crook, S., Pakulski, J. & Waters, M. *Post-modernization: Change in Advanced Society.* London: Sage, 1992. There are also a stream of popular books emphasizing the significance and rapidity of change, for example: Toffler, A. *Future Shock.* London: Bodley Head, 1970; Handy, C. *The Age of Unreason.* London: Business Books, 1989; and Harvey, D. *The Condition of Post-modernity.* Oxford: Blackwell, 1992.

2. The variety of planning definitions were noted in: Blum, H.L. *Planning for Health.* New York: Human Sciences Press, 1974. Definitional confusions are inevitable given that the ideas in this chapter have been used in many disconnected literatures including social planning and public policy, economics, international and development studies, the technological change literature, sociological and political theory, organization and management sciences, labour and industry studies, and the systems sciences. An academic aim of my work has been to aid comparisons of disciplinary concepts and help clarify conceptual conflicts and similarities. Such work supports disciplinary studies without devaluing or displacing them. Even within organizations, different departments come to use different terms for the same notion or the same term for different notions. The practical aim of this book is realized when organizations intelligently adapt my terms to create a common language which suits their particular culture and needs.

3. For an account of values in Czechoslovakia, see the writings of Vaclav Havel e.g. *Living in Truth.* (ed. J. Vladislav) London: Faber and Faber, 1987; *Summer Meditations.* (Transl. P. Wilson) London: Faber, 1992. For Zionism, see: Buber, M. *On Zion: The History of an Idea.* (Transl. S. Godman) T. & T. Clark, 1985; Rubinstein, A. *Zionist Dream Revisited: Herzl to Gush Emunim and Back.* New York: Schocken, 1989.

4. Moliere. *Tartuffe.* In: *Tartuffe and Sisterhood.* (Transl. R.R. Bolt) London: Absolute Press, 1991.

5. For example, see case illustrations in: Nash, L. *Good Intentions Aside.* Boston: Harvard Business School Press, 1990.

6. Most TQM projects seem to grind to a halt within a year or so leaving a more or less beneficial residue. For an account of TQM, see: Deming, W.E. *Out of the Crisis: Quality, Productivity and Competitive Position.* Cambridge, MA: MIT Press, 1986; Juran, J.M. & Gryna, F.M. *Juran's Quality Control Handbook, 4th ed.* New York: McGraw-Hill, 1988; Oakland, J. *Total Quality Management. 2nd Ed.* London: Butterworth-Heinemann, 1991. For a brief explanation of the limitations of TQM, see: Kinston, W. *Working with Values for Results: Beyond Quality to Total Ethical Management.* London: The SIGMA Centre, 1992.

7. For three utterly different but complementary approaches to organizational success, see: Kinston, W. op.cit. [6]. For seven different approaches to decision-making, all of which are needed in a large organization, see Master-Table 8 and: Kinston, W. & Algie, J. Seven distinctive paths of decision and action. *Systems Research*, **6**: 117-132, 1989. Strategies for culture-change depend on the nature of the new values being installed, as illustrated in: Kinston, W. *Strengthening the Management Culture: Phasing the Transformation of Organizations.* London: The SIGMA Centre, 1994.

8. Documents of this sort are sometimes referred to as policy or policy guidance. They are indeed guidance but they are not policy (as defined here) because they give no direction as to how immediate issues like resource shortage, community prejudices or inter-professional disagreements are to be handled.

9. The role that a person or organization has in society is not this sort of role, but a communal role (G"-3^2) *because society is not an endeavour.* Such roles are fulfilled on the basis of accepting certain conventions, holding certain beliefs, and recognizing certain duties (see Ch. 9). They are also part of a whole: the social structure. Here our concern is the definition of roles by endeavours and the need to adapt work activity to ensure joint achievement. We might speak of 'work roles' or 'organizational roles'. In particular endeavours, roles may be temporary and people may be viewed as instruments, preferably willing instruments, in the service of the work to be done. Communal roles are internalized because they must enduringly orient people, but work roles need not be.

10. Policies referred to here are service or business policies which determine results, not social policies. Social policies are not primarily about outcomes but about installing social policy principles. These are constituted by tenets and conventions which shape attitudes and activities so that personal needs are met (see Ch. 9: G"-2^2). For example racial equality policies are about dealing with the need for people — staff, customers, suppliers — to be dealt with fairly irrespective of race. Ordinary policies are relatively straightforward because their strategic objectives are not values at all but only a means for realizing the existing or given values emphasized by prioritization. Such policies can be left to managers to develop and governing bodies to instigate, check and sanction. But ethical principles are value systems which cannot be introduced directly into an organization in this way. If attempted, the values are quietly ignored as soon as the pressure is off. Introducing a social policy is a complex matter which requires using drives and creating new convictions and approaches.

11. For culture change which is primarily issue resolution, see: Hampden-Turner, C. *Corporate Culture: From Vicious to Virtuous Circles.* London: Hutchinsons, 1990. For culture change which is about the installation of new values, see: Kinston, W. 1994, op.cit. [7]. For more on culture-change, see Box 12.1 in Ch. 12.

12. Mintzberg, H. Patterns in strategy formation. *Management Science*, **24**: 934-948, 1978.

13. Kennedy, P. Decisive action. *Health Services Journal,* 11 June 1992, pp.24-25.

14. See, for example: Schein, E.H. *Organizational Culture and Leadership.* San Francisco: Jossey Bass, 1985; Kilman, R.H., Saxton, M.J. & Serpa, R. (eds.) *Gaining Control of Corporate Culture.* San Francisco: Jossey Bass, 1986; Kotter, J.P. & Heskett, J.L. *Corporate Culture and Performance.* New York:

Free Press, 1992.

15. Utopias may still be useful philosophical tools. Most of the values in Thomas More's Utopia, except for the abolition of war, are now realized: H. Goitein (ed.) *Utopia.* (Transl. R. Robinson) London: Routledge (undated).

16. Disability Manifesto Group. *An Agenda for the 1990s: Disability Manifesto.* London, 1990.

17. Suspicion of the power of rhetoric to influence people's actions has a long history, dating back at least to Plato's dislike of the Sophists. Aristotle studied their methods in: *The Art of Rhetoric*; (Transl. J.H. Freese) Harmondsworth: Penguin, 1991. Also see: Burke, K. *The Philosophy of Literary Form.* Berkeley: University of California Press, 1973. Managers, like most people, are more influenced by tricks of oratory than the substance of the message.

18. UK Prime Minister. *The Citizen's Charter: Raising the Standard.* Cmnd. 1599, London: HMSO, 1991.

19. See, for example: Bass, B.M. *Leadership and Performance Beyond Expectations.* New York: Free Press, 1985; Tichy, N.M. & DeVanna, M.A. *The Transformational Leader.* New York: Wiley, 1986.

20. See TQM references in Note [6]; For an explanation of management cultures, see: Kinston, W. op. cit. [7].

21. This example and many others describing the development and communication of identity by public relations experts can be found in case-books like Moss, D. (ed.) *Public Relations in Practice: A Casebook.* London: Routledge, 1990.

22. The collusion between managers, academics and management consultants in re-packaging old ideas and avoiding the real work of dealing with ideas in group settings is documented in: Huczynski, A.A. *Management Gurus: What Makes Them and How to Become One.* London: Routledge, 1993.

23. Traverso, M. & White, J. The launch of the Prudential's corporate identity: A case study. In: Moss, D. op. cit. [21].

24. The disconnection of planning function in relation to growth strategies is documented and discussed in: Mintzberg, H. *The Rise and Fall of Strategic Planning.* New York: Free Press and Prentice Hall International, 1994.

25. This assumption is inherent in the modification and elaboration of levels of work theory as I have developed it (Kinston, W. & Rowbottom R. I: Levels of work: New applications to management in large organizations. II: A new model of managing based on levels of work. *Journal of Applied Systems Analysis,* **16**: 19-34, 1989 & **17**: 89-113, 1990; and *Discussion Papers*, 1992). Because it derived from work on fair pay and a total preoccupation with structures and line-management, the original theory developed by W. Brown and E. Jaques heavily emphasizes the limitations of each individual's capacity to work beyond a certain level (Jaques, E. *A General Theory of Bureaucracy.* London: Heinemann, 1976). Their account does not formally link to values and objectives.

26. Creativity is linked to using values and the self. For most managers, their response to needs is instrumental and value-neutral revealing an undifferentiated self; or they extrapolate and analyse using a self that can be driven, manifests loyalty and social sense. Use of a theoretical framework (e.g. of purpose) requires a more integrated self or higher level of consciousness (cf. Ainsworth-Land, V. Imaging and creativity: An integrating perspective. *Journal of Creative Behaviour.* **16**(1): 5-28).

27. For a classification of types of function which explains general management, see: Kinston, W. & Rowbottom, R. 1990 *op.cit.* [25]. In the 7 levels of responsibility defined by this model, general management is required at levels four to seven inclusive.