

**COMPLIANCE-GAINING:
A NEW PERSPECTIVE REGARDING ALTERNATE TACTIC CHOICE**

by

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A thesis submitted to the Faculty of the University of Delaware in partial fulfillment of the requirements for the degree of Master of Arts in Communication.

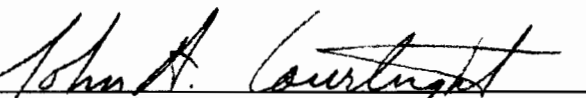
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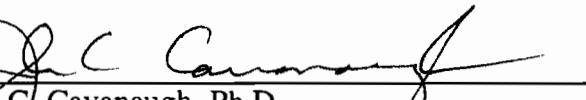
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ABSTRACT

This inquiry was designed to investigate single interactions in the workplace in which more than one attempt to influence or gain compliance is needed to achieve a desired goal. The focus of this study was on peer to peer and subordinate to supervisor persuasion attempts in which one person was trying to induce another to do something in an initial as well as an alternate attempt.

A comprehensive review of compliance-gaining and organizational communication literature revealed two important areas not addressed in previous research:

- (1) No reported study addressed what happens when an individual's initial compliance-gaining attempt is rejected, and compliance is not obtained. All previous research on compliance-gaining message selection focuses on initial (i.e., single) attempts.
- (2) The bulk of compliance-gaining and organizational communication research is devoted solely to one type of workplace persuasion attempt: downward or supervisor to subordinate interactions.

Within this framework, the variables of situation (in this study defined as Scenario), Goals, and Status were viewed in terms of their influence on alternate tactic choice, and their influence on the connection between cognitions and subsequent communication actions via the mechanisms proposed by Action Assembly Theory (Greene, 1984a) and Planning Theory (Berger, 1988). Action Assembly Theory addressed the cognitive assembly process that provides the framework for communication behaviors and Planning Theory specified particular actions to remedy initial compliance-gaining failure and reach goals in alternate attempts.

The findings supported six of the seven hypotheses that were posited. To summarize, test statistics for the one-way multivariate analysis of variance (MANOVA's) indicated that overall, there was a significant difference between initial and alternate compliance-gaining attempts and the tactics chosen. In five of the seven hypotheses, the findings supported a more frequent use of Prosocial vs. Negative/Aggressive tactics in both peer to peer and subordinate to supervisor compliance-gaining attempts. The tactics of Liking, Pre-giving, and Promise contributed most heavily to the difference in frequency of tactic use between initial and alternate attempts. Of course, a mixture of Prosocial and Negative/Aggressive tactics was found, particularly in peer to peer scenarios. It was concluded that this may be due to the notion that in horizontal communication situations, subjects perceived themselves to be of equal status, and therefore, were more likely to employ not only Prosocial tactics (e.g., Promise, Pre-giving, Liking, etc.), but also try Negative/Aggressive tactics (e.g., Threat, Moral Appeal, Negative Self-feeling, etc.).

Finally, both Action Assembly Theory and Planning Theory posit that cognitive planning processes precede action, and produce our behavior. The findings supported that cognitions about status, situation and goal differences must precede action as they functioned to either attenuate or expand the severity of compliance-gaining tactic choices made.

Chapter 1

INTRODUCTION

It has been said that "the communicative ability to get another to do what one wants is perhaps the single most essential skill for participating in society" (Weinstein, 1969, as cited in Tracy, Craig, Smith, & Spisak, 1984). Yet, failure to get our own way is a common human experience, and is an especially pervasive feature of working life.

This inquiry focuses on single interactions in the workplace in which more than one attempt to influence or gain compliance is needed--within the same interaction--to achieve a desired goal. Compliance-gaining is defined here as any combination of communicative techniques employed as organizational influence tactics (Kipnis, Schmidt, & Wilkinson, 1980). It is limited to peer-peer and peer-supervisor persuasion attempts "in which one person is trying to induce another to do something" in an initial and an alternate attempt (Miller, Boster, Roloff, & Seibold, 1977, p. 42). Further, "tactic" use, not "strategy" use is examined in this study. A compliance-gaining "tactic" is an abstract act type (e.g., request, bargain, or threat), while "strategy" refers to a sequence of acts, or tactics, employed in pursuit of a goal or goals (Greene, Smith, & Lindsey, 1990). Finally, an alternate tactic can take any number of forms, such as re-use of the initial tactic, a different tactic, or a combination thereof.

A comprehensive review of compliance-gaining and organizational communication literature reveals at least two important areas not addressed in previous research. First, no reported study addresses what happens when an individual's initial

compliance-gaining attempt is rejected, and compliance is not obtained (Boster and Stiff, 1984; Jordan and Roloff, 1990; Krone, 1992). Accordingly, virtually all known research on compliance-gaining message selection has focused on initial (i.e., single) attempts. In contrast, this investigation highlights alternate attempts by exploring compliance-gaining from the perspective of a communicator attempting to use a second tactic within the same interaction because the initial one has failed to accomplish a desired goal.

Second, the bulk of compliance-gaining and organizational research is devoted to only one type of workplace communication: downward or supervisor-subordinate interactions (for a review, see Garko, 1990; Spector, 1982). Further, existing research on downward compliance-gaining in organizations focuses strictly on the dependence of initial tactic choice on particular antecedent conditions, such as differing perceptions of the interaction (hereafter, Scenario), the desired Goals, and the Status (power) between the interactants. In contrast, this study examines the differential influence of these three variables in alternate compliance-gaining attempts where the relative status of the interactants is both upward and horizontal. Upward communication flows from lower-level to higher-level personnel (subordinate-superior), while horizontal communication flows among organizational members of the same hierarchical level (peer-peer) (Kreps, 1990).

In more statistical terms, this inquiry endeavors to answer three research questions:

- (1) Are there main effects of the variables Scenario, Goals, and Status (power) on alternate tactic choice;
- (2) Are there interactions (i.e., use of one tactic for a certain scenario, and a different one for another) between these variables in terms of how they influence alternate tactic choice;

- (3) Do these variables influence the connection between cognitions and subsequent behaviors? This is the theoretically most important question.

To provide a broader understanding of the concepts presented, the theoretical framework and research objectives of this inquiry are described in the following section.

Theoretical Framework and Research Objectives

This inquiry has two objectives. The first is theoretical: it is designed to provide a reasonable explanation of the cognitive operations people employ when their initial compliance-gaining attempt does not work and an alternate attempt is used.

The second objective is conceptual: it is designed to establish a connection between thoughts and behavior via the mechanisms proposed by Action Assembly Theory [hereafter referred to as AAT (Greene, 1984a)] and Planning Theory (Berger, 1988).

While these theories are certainly similar, they each contribute unique, valuable insights into the connection between cognitions and compliance-gaining behavior.

If the empirical goal is to understand the outcome of cognitive functions (specifically, compliance-gaining behavior), what goes on in the mind is the place to begin. As Greene (1984a, p. 289) argues, "the cognitive system has developed to facilitate action and is best understood in terms of its implications of action." Indeed, cognitions guide communication action (Berger & Bell, 1988):

It is imperative that those interested in the relationships between cognition and communication focus their attention not only on the link between cognitive structures and the interpretation of the social actions of self and others, but also the role that cognitive structures play in driving human action. (Berger, 1988, p. 94)

Thus, research focused on the cognitive representation of behavior enacted when seeking compliance can provide useful information regarding regularities in tactic

selection and compliance-gaining behavior in general (Kellerman and Cole, (1994; Miller, Boster, Roloff, & Seibold, 1977, 1987). Regularities in tactical behavior provide a solid framework for progress in any attempt to understand compliance-gaining.

AAT & Planning Theory

Underlying assumptions - Cognitivism and Action Philosophy.

To appreciate the application of AAT (Greene, 1984a) and Planning Theory (Berger, 1988) to compliance-gaining, an understanding of their underlying framework, here labeled Cognitivism (Greene, 1984a; and 1984b), and Action Philosophy (for a review see Brand, 1984) is important. Cognitivism and Action Philosophy share three primary assumptions. First, both perspectives hold that people are perceived as planning, intentional, and purposeful, instead of being viewed as automatons merely responding to situational demands. In fact, intention is viewed as an ever-present, mental event antecedent to communication behavior.

Second, both Cognitivism and Action Philosophy maintain that there is an additional cognitive component preceding action. This component is "planning" or cognitive representation of action that is based primarily on accumulated residue of past experiences (Brand, 1984; Greene, 1984a; 1990).

Third, these perspectives support the notion that mental processes are primary in producing our behavior, and behavior is the result of continually analyzing meaning and monitoring goal planning, thereby guiding the ongoing generation of responses. Accordingly, social norms/rules have an impact on behavior, but they do not produce behaviors. Instead, long-term memory representations (procedural records

and/or plans) are responsible for the production of behavior. For instance, environmental factors (e.g., differences in Scenario, Goals, and Status/power) provide dynamic external information which continually influences our internal cognitions. Thus, both AAT (Greene, 1984a) and Planning Theory (Berger, 1988) focus on output processes (i.e., cognitive structures and processes) that undergird the production of behavior in ongoing interaction. Seibold (1981) criticizes this cognitive approach on the grounds that too much attention is given to internal cognitive structures and processes. Seibold concludes that most social knowledge is publicly held. In contrast, Greene (1984a, p. 244) maintains, "from a cognitive perspective, it is clear that no knowledge that plays a role in behaviors is publicly held; if information does not reside in our information processing system, then it will not impact upon behavior." Therefore, it is clear that a person's use of or response to a compliance-gaining message "is the result of cognitive operations executed on information residing in one's information processing system" (Greene, Smith, & Lindsey, 1990, p. 195).

Application of AAT and Planning Theory. Both AAT (Greene, 1984a) and Planning Theory (Berger, 1988) are applied in the present investigation because together they address its conceptual and theoretical objectives.

From a conceptual standpoint, both theories offer unique insights into the connection between cognitions and compliance-gaining behavior by addressing how cognitions might influence the dynamic and ongoing production of communication behavior (Berger & Bell, 1988; Berger & DiBattista, 1993; Berger & Kellerman, 1986; Greene, 1984b; Greene, 1990; Greene, Smith, & Lindsey, 1990; Greene & Lindsey, 1989; and Schank & Abelson, 1977). In contrast, most cognitive theories apply only to the "static" interpretation of behavior (as noted in Berger, 1988; Berger & Bell, 1988).

This differentiation is important because in the real world, communication occurs within a context of ongoing interaction. From a theoretical viewpoint, AAT and Planning Theory closely parallel one another in structure. AAT provides a more detailed framework for explaining the nature of cognitive information structures and the processes which operate over these structures to produce communication action (Greene, 1984a; Greene, 1984b; Greene, 1990; Greene & Lindsey, 1989; Greene, Smith, & Lindsey, 1990). Planning Theory is less explicit in this regard. On the other hand, AAT does not distinctly address what may happen cognitively when an initial compliance-gaining attempt fails and another attempt must be made to reach a desired goal. Planning Theory fills this void by specifying plausible actions to remedy initial communication failure and reach communication goals in an alternate attempt (Berger, 1988; Berger & Bell, 1988; Berger & DiBattista, 1993; Berger & Kellerman, 1986; Longhurst & Siegel, 1973).

AAT and the Theoretical Objective. In this investigation, compliance-gaining behavior and the variables of Scenario, Goals, and Status (power) will be examined in light of both the structural and processural elements of cognition. This decision stems from the importance AAT places on considering both these elements. Both facilitate communication and, together, tend to ensure that only the most appropriate tactics are chosen. Moreover, the combination of structure and process form the cognitive assembly process which (1) selects a procedural record (explained below) from a repertoire of possible compliance-gaining behaviors, and (2) constructs and/or continually modifies a behavior (tactic) to accommodate the selected procedural record in ongoing interaction.

The three primary elements of AAT (described below) provide a detailed profile of cognitive information structures and processes that produce compliance-gaining action.

First, the "structural" element focuses on information storage and retrieval, frequently referred to as memory. This "structural knowledge" is central to the compliance-gaining process. This element entails knowledge about precisely how to reach a communication goal (e.g., gain compliance of another), and resides in memory structures called "procedural records." Procedural records are less abstract, specific action sequences that rely on stored past experiences to specify behavior. These precise action sequences have two primary components: (1) a repertoire of routines or tactics (repeating patterns of behavior), and (2) new combinations of these patterns (tactics) created in ongoing interaction. As a result, "communication behavior is at once novel and creative yet patterned and repetitive" (Greene, 1984, p. 289). Further, procedural records are stored in memory as "modular units." Rather than a complex of action units (tactics) that specify all verbal/non-verbal actions in a given scenario, each procedural record functions relatively autonomously via modular units. In this way, procedural records relate in some limited aspect to only a portion of the action that guides a communicator to a goal. Thus, there usually is more than one procedural record required to produce an "action-outcome" to achieve a desired goal.

Second, the "processural" element focuses on the actual activation of a procedural record. In other words, the process element activates and integrates procedural records. This "processural knowledge" is more abstract, and is in operation over less abstract, specific communication actions (i.e., procedural records/"structural knowledge"). Activation entails three elements (1) occurrence of a scenario or

antecedent conditions that have evoked an action-outcome in the past; (2) a desired goal relevant to the record; and (3) the strength of a record. The strength of a record is defined by the frequency and recency with which it is called upon with a positive outcome. Thus, "strength" protects the activation/integration process from invoking incorrect procedures, i.e., those that fail to produce desired outcomes.

Third, considering that there may be more than one procedural record for an action to gain compliance, the task facing the actor is that of integrating and assembling various procedural records to form an action (Greene, 1984a; 1984b; 1990; Greene & Lindsey, 1989; Greene, Smith, & Lindsey, 1990). While it is possible that the integration/assembly process can increase "cognitive load" (the demand placed on cognitive processing capacity), the "modular" structure of procedural records reduces this possibility in ongoing interaction, by fostering retrieval in a packaged or modular form. This type of retrieval increases information storage, knowledge acquisition capacity, and the facility to produce novel communication behavior "on-line."

Planning Theory and the Theoretical Objective. In this study, Planning Theory is applied to examine what might happen cognitively when an initial compliance-gaining attempt fails and another must be made to reach a desired goal. Although Planning Theory does not directly address compliance-gaining as such, it does specify probable cognitive and behavioral actions to remedy initial communication failure (Berger & Bell, 1988; Berger & DiBattista, 1993; Berger & Kellerman, 1986).

According to Planning Theory, "plans are hierarchically organized knowledge structures (cognitive representations of action sequences used to achieve goals) with abstract actions necessary for goal achievement located toward the tops of

hierarchies and less abstract, more specific actions, nested beneath these more abstract actions" (Berger & DiBattista, 1993, p. 221).

Like Planning Theory, AAT functions in a primarily hierarchic manner (Greene, 1984a; 1984b; Greene, Smith, & Lindsey, 1990). For example, "there is a downward goal-setting influence in the output representation (the plan) such that abstract levels constrain the output of lower levels" (Greene, 1984, p. 298).

Some research suggests that differentiation between these hierarchic levels of cognitive abstraction is vital when analyzing what may happen when initial compliance-gaining attempts fail and an alternate attempt is made. In a recent study, Berger & DiBattista (1993) employed their "hierarchy hypothesis" which asserts that when individuals initially fail to reach communication goals (to gain compliance for example), a second or subsequent attempt will alter less abstract, lower level elements of their message plan first (e.g., speech rate and vocal intensity). If this fails, individuals may move to change more abstract plan elements such as organization of message content. Their findings indicated support for the "hierarchy hypothesis."

In their second attempt, most participants made low-level cognitive alterations (i.e., an increase in vocal intensity and a decrease in speech rate), not high-level (altering message content) or mid-range level changes (adding more detail to the same message content). Even though the "hierarchy hypothesis" and related findings coincide with the hierarchic functioning of AAT, Berger & DiBattista (1993) noted that due to the task employed (giving directions to another person), the most probable strategy would be to simplify the directions the second time around, not make them more complex.

In contrast, if a more complex task is invoked (e.g., asking participants to imagine themselves in hypothetical scenarios at work attempting to persuade a peer or supervisor), the tactics used to gain compliance in an alternate attempt will likely be more complex. For example, it is probable that participants would exercise mid-range level changes (adding more detail to the same message content) in combination with low-level cognitive alterations (i.e., an increase in vocal intensity and a decrease in speech rate), and in given scenarios even high-level changes (altering message content)-- or some elevated or reduced progression or combination thereof. In other words, any aspect of a plan is susceptible to alteration, not strictly less abstract, lower level plan elements.

In support of this contrasting position, research suggests that we compensate for failed communication goals by "deploying a variety of tactical variations in behavior" (Berger, 1988, p. 98). In fact, goal thwarting may force individuals to discard some elements of their plans and maintain others (Berger, 1986; Berger, 1988; Berger & Bell, 1988; Longhurst & Siegel, 1973). Berger (1988, p. 99) names this the "accretive model of plan modification" in which new tactical variations are added to the maintained elements of a plan. Furthermore, failure to reach compliance may occur more frequently in the workplace due to increased complexity in situational and personal variables in this context.

When behavioral features are not readily accommodated within a particular level of output representation, it may be necessary to (1) retrieve less readily available behaviorspecifications that can be accommodated in formulating the output representation [compliance-gaining behavior], or (2) assemble a more complex configuration of behavioral specifications at the level of the output representation that permits the simultaneous or sequential accommodation of the incompatible features. (Greene, 1989, p. 123)

These two considerations, retrieval of less readily available specifics for behavior, and assembly of a more complex behavior structure, are important in this study as they relate to use of alternate compliance-gaining attempts. By definition, alternate, like initial tactics, are enacted by selecting procedural records or plans that most closely correspond to pertinent situational variables. Accordingly, alternate influence attempts, by their very nature, will most likely require assembly of a more complex compliance-gaining behavior framework, and retrieval of less readily available tactics in light of failure of the first attempt.

In sum, Planning Theory is applied in this study to examine cognitive representations of compliance-gaining tactics when an initial attempt fails and another is invoked to reach a desired goal. Although Planning Theory does not specifically address compliance-gaining per se, it does indicate probable cognitive and behavioral reactions to initial communication failure. Moreover, the void in the literature surrounding the investigation of alternate compliance-gaining attempts is recognized by AAT (Greene, 1984) and Planning Theory (Berger, 1988). The application of these theories to this inquiry provides a framework for isolating probable answers to three unexplored research questions:

- (1) Are there main effects of the variables Scenario, Goals, and Status (power) on alternate tactic choice?
- (2) Are there statistical interactions (i.e., use of one tactic for a certain Scenario, and a different one for another) between these variables in terms of how they influence alternate tactic choice?
- (3) Do these variables influence the connection between cognitions and subsequent behaviors?

Historical Review of Compliance-gaining Research

The following review of more than thirty years of research on compliance-gaining outlines the previous scholarship relevant to this inquiry. The concept of compliance-gaining, as it is used in this study, the typology chosen, methodological issues, and the historical and present influence of power on compliance-gaining are defined and briefly reviewed. Finally, the limited research focus on upward and horizontal communication in organizations reveals that expanded investigation of compliance-gaining tactic choices comprising these types of interactions is warranted.

The study of compliance-gaining began almost three decades ago. Until 1967, however, most research focused on why we comply (variables such as persuasability and conformity), rather than how we go about gaining the compliance of others. They concluded that "people spend a good deal of time trying to get others to act in ways they desire, and people vary in the ways they go about attempting such interpersonal control" (Marwell & Schmitt, 1967, p. 350). Recall that, compliance-gaining is defined here as any combination of communicative techniques employed as organizational influence tactics (Kipnis, Schmidt, & Wilkinson, 1980), and is limited to peer-to-peer and peer-to-supervisor persuasion attempts "in which one person is trying to induce another to do something" in an alternate attempt (Miller, Boster, Roloff, & Seibold, 1977, p. 42). Through extensive review of the literature, Marwell and Schmitt (1967) discovered that no systematic exploration of the selection, range, or process of how compliance-gaining behaviors are enacted had been conducted.

Accordingly, Marwell and Schmitt sought to break new ground by describing behavioral techniques used to gain other's compliance. The focus in their seminal work was to identify a general set of possible compliance-gaining behaviors.

To define this set of behaviors, they designed a study from the perspective of an actor (persuader) trying to gain the compliance of another.

A questionnaire was constructed to test a subject's likelihood of using different techniques in four different Scenarios. The Scenarios were as follows: (1) persuade your boss to grant you a well-deserved promotion, (2) convince your son to study more to improve his grades, (3) persuade a reluctant stranger to purchase an expensive item in a store, and (4) convince your roommate to help you study, even though you know they are very busy. Following each Scenario, sixteen compliance-gaining behaviors were presented, each representing a specific single tactic. In this study, however, only one Scenario will be presented to participants, varied by Status (power), and Goals.

Typology

Marwell and Schmitt's list of sixteen compliance-gaining tactics (see Table 1) has been used by "more researchers than any other single list or set" (Wheless, Barraclough, & Stewart, 1983, p. 115). For example, Boster, Stiff, and Reynolds, (1985); Lamude, Daniels, and White, (1987); Lustig and King, (1980); Miller, Boster, Roloff, and Seibold, (1977); Wiseman and Schenck-Hamlin, (1981) have employed this original list of tactics, and argued consistently that this typology is especially relevant to an organizational context. Other lists of compliance-gaining tactics have been developed and offered as improvements to Marwell and Schmitt's typology, but none have gained wide acceptance (e.g., Clark, 1979; Cody, et al., 1980; Kipnis, et al., 1980; O'Hair, Cody, & O'Hair, 1991).

In this study, the Marwell and Schmitt typology is utilized in preference to other lists for four reasons:

- (1) This typology is appropriate since the Scenarios in this study describe a persuasive goal and its work-oriented context of Status differences within upward and horizontal influence attempts. Further, the tactics were employed in prior organizational communication research (Lamude, et al., 1987; Sprowl, 1986).
- (2) The tactics were generated by Marwell and Schmitt from a synthesis of demonstrated organizational behavior literature.
- (3) The tactics are complementary to other typologies (Boster, et al., 1985).
- (4) The Kipnis, et al, 1980 typology, also developed for use in organizational contexts, has come under fire for methodological concerns, and lack of consistent and distinct tactic distribution (Lamude, et al., 1987; O'Hair, et al., 1991).

Table 1.1 Marwell and Schmitt's Sixteen Compliance-gaining Tactics

TACTIC	DEFINITION
<i>Promise</i>	If you comply--I will reward you.
<i>Threat</i>	If you do not comply--I will punish you.
<i>+/- Expertise</i>	If you comply--you will be <u>rewarded</u> because of "the nature of things." If you do not comply--you will be <u>punished</u> because of "the nature of things."
<i>Liking</i>	Actor is friendly and helpful to get target in "good frame of mind" so that they will comply with a request made.
<i>Pre-Giving</i>	Actor rewards target before requesting compliance.
<i>Aversive Stimulation</i>	Actor continuously punishes target making cessation contingent on compliance.
<i>Debt</i>	You owe me compliance because of past favors.
<i>Moral Appeal</i>	You are immoral if you do not comply.
<i>+/- Self-Feeling</i>	You will feel <u>better</u> about yourself if you comply. You will feel <u>worse</u> about yourself if you do not comply.
<i>+/- Altercasting</i>	A person with "good" qualities would comply. Only a person with "bad" qualities would not comply.
<i>Altruism</i>	I need your compliance very badly--so do it for me.
<i>+/- Esteem</i>	People you value will think <u>better</u> of you if you do comply People you value will think <u>worse</u> of you if you do not comply.

The rationale underlying these sixteen compliance-gaining tactics is based on a review conducted by Miller, et al. (1987), which observed that Marwell and Schmitt's tactics clearly rely on several different mechanisms for achieving successful interpersonal influence. Some rely on the self-attitudes of a target (persuadee): Moral Appeal, for example, assumes that we want to perceive ourselves as honest and fair,

while Altruism assumes we like to be seen as helpful, cooperative, and concerned for the welfare of others. Other tactics rely on establishing a positive self-image of the actor: Liking, for example, depends on painting a friendly picture of the actor, while Expertise hinges on a perception that the actor is knowledgeable in some specific area. Still other tactics aim at defining an appropriate or desired attitude in the target--both Threat and Promise function this way. Threat focuses on stimulating fear or anxiety, while Promise relies on anticipation or desire.

Some tactics combine outcomes. Pre-giving and Debt, for example, attempt to create a positive self-image of the actor as a generous person, and set the tone for target self-attitudes regarding fairness and reciprocity.

Finally, other tactics focus solely on the target. Esteem attempts to boost the pride or establish guilt in the target, and Self-feeling emphasizes positive or negative feelings in the target as a result of compliance or non-compliance.

Methodological Issues

The desire to create a more efficient typology than that offered by Marwell and Schmitt has been continuous. The debate centered around the method by which Marwell and Schmitt constructed their list of tactics. Wiseman and Schenck-Hamlin (1981) were the first to give labels to the two approaches by which lists are developed in research: (1) Deductively-derived (role-play/recognition procedure), and (2) Inductively-derived (constructed message procedure). Both of these procedures, i.e., role-play/recognition and constructed message, will be used in this study.

The first approach is "deductively-derived" and involves a researcher "deducing" a list of behaviors from past studies. This method is still widely used and supported by many researchers today (e.g., Boster, Stiff, & Reynolds, 1985; Marwell

& Schmitt, 1967; Miller, et al., 1977). Subjects are presented with a researcher-provided list of tactics, asked to imagine (role-play) themselves in a hypothetical compliance-gaining scenario, and report which tactics they are most likely to use from the message checklist. The advantage of this approach is each participant receives an identical manipulation tailored to the researcher's needs.

The second approach develops a list of tactics "inductively." In this method, subjects generate their own compliance-gaining messages which are then coded into a reliable, existing set of tactic types, such as Marwell and Schmitt's sixteen techniques. Typically, participants are asked to recall an actual compliance-gaining attempt from their experience, or, as in this study, presented with a hypothetical Scenario. They then "construct" (write) what they would say to gain compliance. This method is also widely used and supported by researchers (Clark, 1979; Cody, McLaughlin, & Jordan, 1980; Falbo, 1977; Wiseman & Schenck-Hamlin, 1981).

To illustrate, two comparative studies, (Burleson, Wilson, Waltman, Goering, Ely & Whaley, 1988; Clark, 1979) used both role-play/recognition and constructed message procedures in conducting two compliance-gaining experiments. These two methods yielded markedly different results. In Clark's study, when subjects chose tactics from a provided list, rather than composing messages, the tactics selected demonstrated greater accommodation to the recipient's perspective, showed both the agent and target in a favorable light, and used fewer tactics that could damage their interpersonal relationship (see also, Cody, et al., 1980). Thus, "an individual presented with a list of strategies, may recognize them as effective, but would not have spontaneously thought to use many of them;" and the tactics subjects most prefer may not appear in the provided selection (Clark, 1979, p. 273).

In Burleson, et al. (1988), the role-play/recognition or selection procedure was found to be "insensitive to how individual difference and situational (scenario) variables affect compliance-gaining behavior" (p. 431). This insensitivity is due to a particular social desirability bias (item desirability affect). For example, in all seven experiments, participants chose the most socially appropriate compliance-gaining strategies.

Having subjects compose messages may have two advantages. First, results may more closely approximate those occurring in real-life scenarios (thus, enhancing external validity). Second, composition may expand and refine an understanding of the wide range of tactics deployed. Specifically, "preformulated tactics are useful in identifying which tactics are more likely to be used in a given scenario, but are of limited utility in expanding knowledge of the full spectrum of tactics used in reality among interpersonal persuaders" (Cody, et al., 1980, p. 34).

In general, however, past research has demonstrated that role-play/recognition and/or message construction procedures are most frequently used in compliance-gaining studies because using either one will effectively tap both the structural (memory storage) and processural (behavior or action/outcomes) aspects of AAT (Dillard & Burgoon, 1985; Greene, 1990; Jackson & Backus, 1982; Waldron & Cegala, 1992). Based on these findings, it is recognized that including both procedures in the questionnaire will strengthen the integrity of data gathered in this study. The constructed message portion of the data will not be analyzed in the current study. Instead, this data will be retained and perhaps utilized for future research.

The Power Factor

The inclusion of power in this study, as manifest in hierarchical status differences, is warranted because differences in perceived interpersonal power might reflect how status differences affect tactic choice in a given Scenario. In this study, the categories of power originally proposed by Wheelless, et al. (1983) provide a basis for conceptualizing Marwell and Schmitt's sixteen compliance-gaining tactics (see section on Status/power in the following literature review).

In a review of compliance-gaining literature, Garko (1990) found that researchers have historically studied compliance-gaining from a social exchange or a power perspective. Within a social exchange view, individuals seek to minimize costs and maximize rewards to themselves when engaged in compliance-gaining attempts (Ricciolo & Trenholm, 1983). From a power perspective--by far, the most widely applied perspective in compliance-gaining research--an individual's ability to influence others is dependent upon the perception of who controls needed resources (Wheelless, Barraclough, & Stewart, 1983). "The power literature constitutes the hereditary roots of compliance-gaining conceptualization" (Wheelless, Barraclough, & Stewart, 1983, p. 110).

Upward and Horizontal Communication in Organizations

Limited research focused on upward and lateral communication, as well as alternate compliance-gaining tactic choice, provides strong evidence that expanded investigation of the cognitive processes and behavioral responses comprising these areas is warranted. Accordingly, this study focuses on the extent to which particular antecedent conditions, i.e., the variables of Scenario, individual Goals, and Status,

differentially influence initial and alternate tactic choice in upward and horizontal communication.

Although it is well-known and documented that interpersonal communication occurs in many different forms and types of relationships, both organizational and compliance-gaining scholars have surprisingly devoted most of their attention to only one type of interpersonal communication: downward or superior to subordinate interaction. Moreover, "studies that directly concern inquiries about communication and interpersonal influence in an organizational context have received little attention" (Seibold, Cantrill, & Meyers, 1985, p. 556).

This myopic focus developed, in part, from a belief that superior to subordinate interactions foster the most important episodes of organizational communication. It is also based on a long-standing desire of management and researchers alike to identify a means of improving organizational effectiveness through managerial control, which came to mean that "top-down" communication is the key to effective management (Eisenberg, Monge, & Farace, 1984).

Most research on downward communication between superior and subordinate claims three primary themes. The first theme derives from a human relations perspective of organizational structure that emphasizes the link between communication and effective supervision (Fulk & Mani, 1986; Goldhaber, 1986; Jablin, 1979; Jablin 1985; and Newman, 1990).

The second theme involves description and explanation of communication tactics and/or strategies chosen by superiors to gain compliance from subordinates. For example, Fairhurst, Green, and Snavelly (1984) examined strategies that managers use to correct/control poor performance by employees. Riccillo and Trenholm (1983) found

that levels of trust by superiors in subordinates affect their choice of strategies for influencing subordinates.

Finally, the third theme involves interpersonal power or ability to influence others (Lamude, Daniels, & White, 1987; Wheelless, Barraclough, & Stewart, 1983). Again, the bulk of this research has focused on downward communication involving the superior's perceptions of power (for a review, see Spector, 1982). As a result of this focus, "our understanding of nonsupervisory subordinates' upward influence communication remains largely incomplete" (Berger, 1985).

Researchers and management are overlooking an obvious and important work dynamic present within organizational structure. While it is true that subordinates experience a power disadvantage in a superior-subordinate relationship, they are certainly not powerless. They can and do attempt to influence their superiors (Daniels & Spiker, 1991). Accordingly, subordinate-supervisor (upward influence) and peer-peer (horizontal influence) interactions are also vital and salient modes of communication within any organization. These often include alliances among subordinates to influence a superior, as well as influencing the superior's peers. They possess the ability to improve organizational effectiveness through means other than a downward, mechanistic channel based exclusively on manager directives.

In support, Krone (1992, p. 1) maintained that failure to influence effectively or gain compliance has both personal and organizational effects:

From an individual's point of view, ineffective upward influence can result in perceptions of reduced personal control and increased work-related stress. From the organization's perspective, subordinates' unwillingness or inability to influence a supervisor's thinking can reduce organizational effectiveness, increase gaps between organizational practices and goals, and even reduce an organization's ability to avert disaster.

Krone's observation is corroborated in studies of requests to gain compliance (Jordan & Roloff, 1990; Tracy, Craig, Smith, & Spisak, 1984). In addition, many leading American industries (e.g., automotive, electronics, and transportation) have adopted Total Quality Management (TQM) as a widely accepted management technique. The essential characteristic of TQM is the upflow of communication from subordinates to superiors. Early anecdotal data indicate positive gains in communicative relationships by the adoption of this, and similar techniques.

Other variations of such upflow are industrial work-team groups, typically consisting of management, labor, and intermediate staff. These new management techniques hold promise to modify substantially not only superior-subordinate communication, but also encourage communication on a peer-peer basis. Thus, in large part, the superior-subordinate downward communication techniques favored previously are going out of vogue. Kantor (1983) supported the notion that subordinate-superior, and peer-peer interaction function to solve problems, promote cooperation and increase the overall effectiveness and efficiency of an organization. Therefore, how skillfully subordinates and peers manage compliance-gaining scenarios has a significant impact on the specific and global effectiveness of an organization.

The previous review outlined the complex framework of organizational compliance-gaining within which the selected variables (Scenario, Goals, and Status) function. The next section will describe these variables individually (in order of salience) to provide a focused understanding of their influence on one another as well as on a communicator's persuasive tactic choice within an organizational environment.

The Selected Variables

This section will describe the three variables explored in this study: Scenario, Goals, and Status (power). In the complex process of organizational compliance-gaining, these factors most likely do not function independently. Instead, they are interdependent, made up of societal, work environment, and individual influences. Nonetheless, this review will treat them independently for the purpose of conceptual clarification, and then, in Chapter II, propose a methodological way to view them in interaction.

Because the separate influence of each variable depends upon the presence and combined influence of the others, the three variables in this study are discussed in order of salience. Scenario is addressed first because it provides the foundation for any type of compliance-gaining communication.

Goals are discussed next because their influence on tactic selection in compliance-gaining depends upon the actor's definition of Scenario (e.g., which variables have the most impact on perception, and therefore, tactic selection).

Finally, Status is described as a ubiquitous and integral element within an organizational environment. It differentially influences individual perceptions of a Scenario (compliance-gaining attempt), can attenuate or change individual goals, and, ultimately, modify compliance-gaining tactic selection and communication behavior.

Although gender is not included in this study, it is recognized that some researchers have included gender as a variable in compliance-gaining research (Berger, 1988; Berger & Bell, 1988; Canary, et al., 1988; Hirokawa, Mickey, & Miura, 1991; Kipnis, et al., 1980; and Offerman & Shrier, 1985). In general, the findings indicated no significant differences between the compliance-gaining tactics of men and women. Specifically, sex of a superior or peer was found to exert no substantial influence on

tactics chosen to gain compliance. Any differences observed were better accounted for by perceptions of Status and Scenario. Based on the results of these findings, therefore, gender differences would not appear to materially influence outcomes expected in this study.

The following discussions and related findings will illustrate that Scenario, Goals, and Status (power) have a systematic influence on compliance-gaining tactic choice and its behavioral sequelae.

Scenario in Compliance-Gaining

The variable, Scenario, is operationalized in this study by two brief narrative paragraphs describing a workplace compliance-gaining context that includes a persuasive goal (benefits self or benefits other) and status differences (peer-peer or subordinate-supervisor communication).

Although Scenario, Goals, and Status are treated separately in this study, the degree to which these variables actually shape behavior in a given Scenario depends upon the actor's perception of their importance in relation to one another. Thus, the two hypothetical Scenarios utilized in this study necessarily include the variables of status and goal differences, as these working together should significantly affect compliance-gaining tactic choice. The decision to employ two separate Scenarios is based on Jackson (1992) and Jackson and Jacob's (1983) recommendations to use multiple messages in studies that wish to generalize message effects.

In sum, many researchers have investigated how the choice of tactics is influenced by situational factors (Boster & Stiff, 1978; Cody & McLaughlin, 1980; Dillard & Burgoon, 1985; Miller, Boster, Roloff, & Seibold, 1977; O'Hair, Cody, & O'Hair, 1991). Greene (1984a, p. 242) clearly indicates the importance of this variable:

Situational factors are important from a cognitive perspective for two reasons. First, they provide the raw materials for information processing and activation systems. Second, much of our cognitive activity revolves around the impact of our behavior on others.

While it is clear that most findings support the notion of Scenario (situation) systematically influencing tactic choice, the impact that situational factors have in choice of alternate influence tactics, however, has not been explored. Accordingly, based on the existing literature for initial compliance-gaining attempts, hypotheses and research questions regarding its impact on alternate influence tactics are presented in the following sections.

Scenario and Prosocial Tactic Use. Of importance to this study, results of research involving the influence of Scenario on initial tactic choice reveal that subjects prefer “prosocial tactics” that place the persuadee in a positive frame of mind, and that harsher tactics are least frequently used (Clark, 1979; Cody, McLaughlin & Jordan, 1980; Greene, 1990b; Hunter & Boster, 1987; Levine & Wheelless, 1990).

Prosocial tactics are represented in this inquiry by Marwell and Schmitt’s (1967) compliance-gaining tactics of promise, positive expertise, liking, pre-giving, positive self-feeling, positive altercasting, altruism, and positive esteem. Harsher tactics are represented by threat, negative expertise, aversive stimulation, debt, moral appeal, negative self-feeling, negative altercasting, and negative esteem (Marwell & Schmitt, 1967).

To illustrate the prevalent use of prosocial influence tactics in initial influence attempts, Hunter and Boster (1987) found that persuaders generally prefer tactics that evoke favorable affect in the receiver and avoid those that may potentially create negative reactions. Further, Levine & Wheelless (1990) studied compliance-gaining behavior in different Scenarios to determine how consistent their findings were

to the majority of research. Consistent with prior findings, their subjects tended to use positive instead of negative tactics, and tended to evaluate the emotional impact of a tactic on the target. Also, Clark (1979) and Cody, McLaughlin and Jordan (1980) found that positive, socially desirable tactics were used most in initial attempts, especially when subjects chose from a "preformed list" of tactics. Even when tested using a "constructed message" technique, prosocial tactic choice remained a statistically significant effect, but was not as prevalent when tested through a "preformed" tactic list. The above findings lead to the following hypothesis:

Hypothesis 1: In upward and horizontal work relationships, the frequency with which prosocial tactics are used will increase in alternate compliance-gaining attempts when compared to the frequency of use in initial attempts.

Scenario, Preservation of Relational Stability, and Self-Esteem of the Other. Evidence shows that preserving relational stability during an initial compliance-gaining attempt is of great importance to a potential persuader. Waldron and Krone (1991) found that some employees edit or repress negative, and emotion-laden messages to maintain healthy, acceptably defined working relationships with superiors and peers. Their findings exemplified the notion that maintenance of relational stability during compliance-gaining attempts is one of "multiple and potentially competing communication goals that must be managed by organizational members" (Waldron, 1991, p. 303).

In addition to preserving relational stability, there is a desire to preserve the self-esteem of the persuadee during a compliance-gaining attempt. Clark (1979) and Cody et al. (1980) found that in first attempts the goal of "degree of self-interest" (high to low) is the dominating factor in determining how much pressure to exert on the other

to gain compliance. Further, desire for liking was reflected in the form by which that pressure is expressed. That is, tactics were "overlaid with strategies designed to preserve the self-esteem of the other" (Clark, 1979, p. 270). These results were persuasive in suggesting that preserving relational stability, and the self-esteem of the other may be deciding elements in fostering tactic choices in alternate as well as initial compliance-gaining behavior.

Scenario and Influence of a "Personal Negative Threshold."

Levine and Wheelless (1990) maintain that in initial compliance-gaining attempts, subjects compare their tactic choice to a personal "negative threshold" for a given Scenario; i.e., to what extent a communicator is willing to risk the use of less positive, harsher tactics in compliance-gaining. If the tactic exceeds the threshold, it is rejected. As Infante, Anderson, Martin, Herington, and Kim (1993, p., 310) observed, "this threshold . . . underlies the strategy selection process." In the current inquiry, this negative threshold may be present and may shape tactic selection during alternate influence attempts. Based on these findings, the following hypothesis is advanced:

Hypothesis 2: In alternate compliance-gaining attempts, situational factors (e.g., a desire to preserve relational stability, the self-esteem of the persuadee, and presence of a personal "negative threshold") will decrease negative/aggressive tactic use when compared to the frequency of use in initial attempts.

As Berger (1988 p. 102) suggests, "although persons may drift toward more negative means of influence in the face of failure, the meta-goal of social appropriateness may set an absolute limit past which the person will not go."

As previously discussed, AAT and Planning Theory purport that through the activation of relevant procedural records/plans, subjects cognitively determine to

what extent they are willing to risk selecting a less positive, harsher tactic to gain compliance in a given scenario (Berger, 1988; Greene, Smith, & Lindsey, 1990). Based on this, we may conclude that subjects tend to evaluate the emotional impact of a tactic on the persuadee prior to and during an alternate influence attempt, and decrease use of negative/aggressive tactics within upward and horizontal work relationships.

Goals in compliance-gaining

From among the primary situational variables examined by researchers, goals as personal benefits (personal gain/no personal gain) are of particular importance to this study. Goals as personal benefits were consistently found to have a strong positive association with tactic selection (Boster & Stiff, 1978; Clark, 1979; Cody & McLaughlin, 1980; Dillard & Burgoon, 1985). This finding led to the decision in the current study, to operationalize Goals within each hypothetical Scenario as "direct personal gain" and "no direct personal gain" (Cody and McLaughlin, 1980, p. 143). Goals as personal benefits include the possibility of "getting someone to assist you on a project at work," "accelerating your career," "easing your personal schedule," and "decrease your expenses." No personal benefit goals include, "advancing your firm's status in the business community," "expand the client base for your firm," "increase a client's future earnings," and "enhance results for the company."

Intimacy and long/short-term consequences play a relatively minimal role in compliance-gaining tactic choice, and are not addressed in this inquiry. Intimacy and the duration of consequences were found to have far less impact on the selection of tactic choice than did other factors like goals as personal benefits (to self and other) and status differences (e.g., Boster & Stiff, 1978; Cody & McLaughlin, 1980; Dillard & Burgoon, 1985; Levine and Wheelless, 1990; Miller, Boster, Roloff & Seibold, 1977).

Previous research suggests that individual goals have a major impact on compliance-gaining behavior. Hocker and Wilmott (1991), for example, postulated that goals determine tactic choice. This may be so. However, within a work environment, this conclusion assigns little or no salience to the influence of status in determining tactic choice. Importantly, even those researchers espousing goals as the dominant factor in tactic choice recognized that there is persuasive evidence of a cognitive hierarchy of goals (Canary, Cunningham, & Cody, 1988; Cantor & Mischel, 1979; Greene, 1984a, 1989).

Clark's (1979) three goal dimensions (see Table 2) undergird this notion of a cognitive hierarchy, thus providing a framework for developing hypotheses about the impact of goals (concomitant with the affects of Scenario and Status) on tactic choice in alternate influence attempts. First, the idea of a systematic effect of three goal dimensions in a scenario may represent this cognitive hierarchy of goals that vary in their influence on tactic choices. When a second compliance-gaining attempt is perceived as necessary to reach a desired communication goal (Greene, 1984a, 1989), this investigation may aid in determining if a hierarchy of goal dimensions, along with individual perception of a scenario, shape alternate tactic selections in the workplace.

Second, Clark's goal dimensions are employed here because Goals are an integral part of Scenario and Status (Cody & McLaughlin, 1980; Dillard & Burgoon, 1985; Kipnis, Schmidt & Wilkinson, 1980). The impact of Goals on compliance-gaining tactic choice and behavior depends upon the actor's perception of the Scenario. This perception defines the Scenario and, in turn, determines which goal-type is dominant. Recall that Scenario includes "any variables which impact on an agent's compliance-gaining behavior" (Levine & Wheelless, 1990, p. 1). To what degree Status

shapes behavior in an alternate or initial influence attempt depends on the actor's perception of the importance of these in relation to one another, and to individual goals. Thus, tactic selection is produced by the meaning assigned to situations (Scenarios) by the individual (Greene, 1984a, 1984b, 1990a).

Table 1.2 Clark's Three Goal Dimensions

A.	Instrumental/task-oriented goals: A situation-bound objective to accomplish.
B.	Interpersonal goals: Maintenance of a specified relationship between parties.
C.	Management of identity goals: Maintenance of a desired self-image, and/or self-esteem, regardless of task or relationship between the parties.

In the context of alternate, direct personal gain influence attempts, task-oriented goals are an ever present, consistent element in cognitive activation of compliance-gaining behavior. They are not, however, the sole or primary influence on tactic selection, particularly in the workplace (Clark, 1979; Kipnis, Schmidt & Wilkinson, 1980; Waldron, 1991; Waldron & Hunt, 1992). Clark (1979) suggests that, in this context, tactics are primarily selected by relying on interpersonal goals (maintenance of a specified relationship between parties) and management of identity goals (maintenance of a desired self-image, and/or self-esteem, regardless of task or relationship between the parties).

In this study, reliance on interpersonal goals will manifest itself via the following Marwell and Schmitt (1967) tactics: Debt (persuader owed compliance because of past favors), Altruism (compliance needed very badly -- "Do it for me"), Liking (persuader is friendly and helpful to get target in good frame of mind so they will comply), Pregiving (persuader rewards target before requesting compliance), +/-

Expertise (reward or punishment because of the “way things are”), Promise (persuader will reward target if they comply), and Threat (persuader will punish target if they do not comply).

Reliance on management of identity goals will manifest itself via the following Marwell and Schmitt (1967) tactics: +/- Self-Feeling (persuader tells target they will feel better about themselves if they comply and worse if they do not), +/- Altercasting (persuader tells target that a person with good qualities would comply, a person with bad qualities would not), +/- Esteem (persuader tells target that people they value will think better of them if they comply and worse if they do not), Moral Appeal (persuader tells target they are immoral if they do not comply) and Aversive Stimulation (persuader continuously punishes target making cessation contingent upon compliance).

Based on Clark’s three goal dimensions, the following two hypotheses are advanced:

Hypothesis 3: In alternate compliance-gaining attempts involving direct personal gain, reliance on interpersonal goals will increase the use of Debt, Altruism, Liking, Pregiving, +/- Expertise, Promise, and Threat tactics when compared to the frequency of use in initial attempts.

Hypothesis 4: In alternate compliance-gaining attempts involving direct personal gain, reliance on management of identity goals will increase the use of +/- Self-Feeling, +/- Altercasting, +/- Esteem, Moral Appeal, and Aversive Stimulation tactics when compared to the frequency of use in initial attempts.

Nonetheless, preservation of the relationship, and self-esteem of the other are indeed ongoing aspects surrounding cognitive activation of compliance-gaining behavior (Clark, 1979; Waldron, 1991; Waldron & Hunt, 1992).

The pursuit of individual goals is a fundamental characteristic of human communication, particularly in the workplace. Nevertheless, we know little of the cognitive processes that underlie the production of messages from which goals are

derived. Greene (1989, p. 124) offers one possible account of these cognitive processes via Action Assembly Theory, "it is significant to note that from the perspective of Action Assembly Theory, all message behavior reflects the role of current goals and situational factors."

Essentially, Clark's notion of the systematic effect of three goal dimensions on Scenario may reflect a cognitive hierarchy of goals that vary in their influence on tactical choices. This hierarchy shapes initial tactic selection and, quite possibly, shapes alternate tactic choice in a similar manner. Moreover, this investigation recognizes that norms of behavior (cooperation, support, competition, etc.) and perceived nature of the Scenario (Status/power differences, and individual Goals) may further circumscribe the appropriateness of selected compliance-gaining tactics, not only in initial, but in alternate attempts as well.

Status (power) in Compliance-gaining

Two notions about Status are important to the present inquiry: (1) compliance-gaining and power are directly linked, and (2) individual perceptions of power manifest themselves in hierarchical status differences, especially in the workplace.

As to the first notion, "the power literature constitutes the hereditary roots of compliance-gaining conceptualization" (Wheless, Barraclough, & Stewart, 1983, p. 110). Regarding the second assertion, various scholars have recognized that the concept of interpersonal power might provide an underlying explanation of how status differences affect the types of compliance tactics employed (Berger, 1985; Cody & McLaughlin, 1985; Lamude, Daniels, & White, 1987; Tracy, Craig, Smith & Spisak, 1984; Wheless, Barraclough, & Stewart, 1983). These findings lead to the decision

that Status would be operationalized within each hypothetical Scenario used in this study as peer-to-peer or subordinate-to-supervisor compliance-gaining attempts.

Status and Subordinate-Supervisor (upward) Influence

Attempts. In this investigation, compliance-gaining message activity is perceived as a function of both Status (power) characteristics and Scenario (Berger, 1985; Lamude, Daniels, & White, 1987). That is, we act on the basis of perceptions or the meanings we assign to the Scenario, Goals, and Status. Thus, interpersonal power is the perceived or ascribed control a person has to influence another's behavior. As Wheelless et al. (1983, pp. 127-128) suggest, interpersonal power is "power that the agent [source] perceives in or grants to the target [receiver]," whether the target is a peer or a supervisor.

If compliance-gaining is the implementation of power, then the following categories of power (see Table 3), originally proposed by Wheelless et al., 1983, provide a basis for conceptualizing Marwell and Schmitt's (1967) sixteen compliance-gaining tactics herein. Accordingly, based on previous validation of status relationships in an initial compliance-gaining attempt, it is probable that alternate influence attempts are driven by the same Marwell & Schmitt tactics associated with the power category employed in an initial influence attempt. Hypotheses about the influence of Status in alternate compliance-gaining attempts are presented in the following sections.

Table 1.3 Categories of Power

Power Category	Definition	Corresponding M & S Tactics
Expectancies/ consequences	Subordinate use of reward or coercive power to signal what is expected or the consequences of non-compliance	Promise, Threat, +/- Expertise, and Aversive Stimulation
Relationship/ identification	Subordinate use of referent or expert power to indicate awareness of superior's competence or respect gained for superior	Liking, Altruism, and +/- Esteem
Values/ obligations	Subordinate use of legitimate power to indicate duty to comply	Pregiving, Moral appeal, +/- Self-feeling, and +/- Altercasting

The classification of power proposed by Wheelless, et al. provides the framework adopted in this study for developing hypotheses regarding the likely rationale behind alternate influence attempts when interacting with a superior (Lamude, Daniels, & White, 1987). In light of this framework, and given the inherent power/status-oriented issues and upward compliance-gaining message activity within a work setting, it is hypothesized that:

Hypothesis 5: In upward, alternate compliance-gaining attempts, a subordinate will increase his or her use of prosocial, relationship maintenance tactics in the category "relationship/identification" (liking, altruism, positive esteem) and "values/obligations" (pregiving, positive self-feeling, and positive altercasting) when compared to the frequency of use in initial attempts.

This cognitive selection of tactics may result from a subordinate's concern for preserving the relationship, demonstrating respect for a superior's status and competence, and showing awareness of potentially negative consequences if less

prosocial tactics are utilized (e.g., threat, negative expertise, aversive stimulation, debt, moral appeal, and negative altercasting). In support of this conclusion, Tracy, Craig, Smith, and Spisak (1984) found that when attempting to gain the compliance of a higher status other, altruism and, to a lesser extent, certain positive sanction and argument tactics were used. Further, as Waldron and Hunt (1992, p. 82) indicated, "preservation of a functioning relationship with a supervisor is arguably one of the most important communication objectives faced by subordinates. Maintenance of this relationship is necessary if the subordinate is to conform with most organizational reporting requirements." In addition, Status/power differences are ubiquitous in a superior-subordinate relationships (Lamude, et al., 1987), and "maintenance-type" upward communication is "unusually important because relationship deterioration has potentially substantial career, and possibly economic implications for subordinates" (Waldron, 1991, p. 291).

Status and Peer-Peer (horizontal) Influence Attempts. While it is recognized that the Lamude, et al. (1987) study specified tactics chosen by subordinates, the additional status dimension of "peer" is included in this inquiry. The present study analyzes peer-peer compliance-gaining attempts because past research has suggested that horizontal influence is a vital and salient mode of communication within an organization.

Certainly, peers desire to preserve a comfortable professional relationship with one another to gain the value and availability of mutual assistance, and to demonstrate responsibility and competence to co-workers. Unlike subordinate-supervisor influence attempts, preservation of the existing relationship is not the primary element governing cognitive selection of compliance-gaining tactics in peer-directed influence attempts. Peer-peer communication is less constrained by formal status/role

definitions, since the inherently threatening legitimate power differences that exist in upward communication (subordinate-supervisor) are absent in horizontal (peer-peer) interaction.

As a consequence, compliance-gaining tactics in this context, while still concerned with relationship maintenance, are likely to be less mindful of power differences and, therefore, more assertive, coercive, and exchange-oriented. Marwell & Schmitt (1967, p. 360-361) called these assertive/coercive tactics "punishing activity" (e.g., aversive stimulation, negative expertise, negative self-feeling, negative altercasting, and threat) and exchange-oriented tactics "activation of personal and impersonal commitments" (e.g., pregiving, debt, moral appeal, positive self-feeling, positive altercasting, debt, promise, and positive expertise).

To explore this premise, Dillard and Burgoon (1985) conducted a study that examined compliance-gaining tactics used by workers when attempting to change behaviors of superiors and peers. Their findings indicated that fewer harsh tactics are employed with higher status others because of the perceived ability of a superior to retaliate. When influencing peers, however, exchange of benefits type tactics (offering to make personal sacrifices) were used most. Moreover, findings indicated that organizational members are less likely to use assertive and coercive tactics with superiors than with co-workers, and less likely to employ exchange with superiors than with co-workers (Kipnis, et al., 1980; Krone, 1992; Lamude, et al., 1987). Based on the influence of Status on compliance-gaining attempts, the final two hypotheses are advanced:

Hypothesis 6: In alternate compliance-gaining attempts involving direct personal gain, a peer will increase use of tactics in the category "values/obligations" (pregiving, debt, moral appeal, positive and negative self-feeling, and

positive and negative altercasting) when compared to the frequency of use in initial attempts.

Hypothesis 7: Conversely, in an alternate compliance-gaining attempts, involving Scenarios of no direct personal gain, a peer will increase use of tactics in the category "expectancies/consequences" (promise, threat, positive and negative expertise, and aversive stimulation) when compared to frequency of use in initial attempts.

Essentially, compliance-gaining tactics in this context are still concerned with relationship maintenance, but are likely to de-emphasize power differences and, therefore, will be more assertive, coercive, and exchange-oriented.

In sum, peer-peer communication is less circumscribed by status/role definitions because the legitimate power differences present in upward communication (subordinate-supervisor) are absent in horizontal (peer-peer) interaction.

Summary

Through a synthesis of literature, this chapter demonstrated two primary notions about compliance-gaining in the workplace. First, the unique features of an organizational environment (i.e., the variables of Scenario, individual Goals, and Status differences) characterize initial compliance-gaining tactic selection and resultant behavior. It should be noted that this study recognizes (but does not intend to evaluate or measure) the corporate culture itself (e.g., how work is accomplished, rewarded, and punished), and its impact on influence tactics. In addition, other variables not addressed here most likely play a further role in defining compliance-gaining tactic choices and behavior. These factors need to be the subject of future research.

Second, this chapter broadens the current research perspective of compliance-gaining in organizations to include (1) subordinate-supervisor (upward as opposed to downward), and peer-peer influence attempts, and (2) the perceived need for

a subordinate or peer to employ an alternate compliance-gaining attempt in the event of a failed initial attempt (a frequent organizational occurrence, especially among subordinates and peers, not addressed by most researchers).

To reiterate, this study endeavors to meet a theoretical and a conceptual objective. The theoretical objective is to use a cognitive theory to provide a reasonable explanation of what happens to people when their initial compliance-gaining attempt does not work, and an alternate attempt is employed. The conceptual objective is to establish a connection between thoughts and behavior through the mechanisms of Action Assembly Theory (AAT) and Planning Theory.

These theories, and the reviewed literature, provide the theoretical and conceptual framework to investigate the research questions and hypotheses regarding the variables Scenario, Goals, and Status. This investigation recognizes that the variables of Scenario, Goals, and Status most likely do not function independently. Instead, they work interdependently within the complex process of organizational compliance-gaining. The study outlined in Chapter 2 will present a set of procedures to assess the possible relationships among these variables.

Chapter 2

METHODOLOGY

The study described in this chapter examines the influence of three variables--Scenario, Status (power), and Goals on compliance-gaining attempts in a workplace setting. A comparison of their effect on the selection of alternative, as well as initial compliance-gaining tactics, will be discussed.

As noted in Chapter 1, the focus of this study is on alternative tactics used in Scenarios in which more than one attempt to gain compliance is needed to achieve a desired goal. This interest is based on the premise that the alternate tactic is a new and separate cognitive event (within the same Scenario), requiring another influence attempt to overcome the failed tactic. Accordingly, this second attempt is subject to the same three variables as defined for the initial attempt.

Hypotheses

Based on the assumptions outlined in Chapter 1, the following hypotheses were advanced:

- Hypothesis 1: In upward and horizontal work relationships, the frequency with which prosocial tactics are used will increase in alternate compliance-gaining attempts when compared to the frequency of use in initial attempts.
- Hypothesis 2: In alternate compliance-gaining attempts, situational factors (e.g. a desire to preserve relational stability, the self-esteem of the persuadee, and presence of a personal "negative threshold") will decrease negative/aggressive tactic use when compared to the frequency of use in initial attempts.

- Hypothesis 3: In alternate compliance-gaining attempts involving direct personal gain, reliance on interpersonal goals will increase the use of Debt, Altruism, Liking, Pregiving, +/- Expertise, Promise, and Threat tactics when compared to the frequency of use in initial attempts.
- Hypothesis 4: In alternate compliance-gaining attempts involving direct personal gain, reliance on management of identity goals will increase the use of +/- Self-Feeling, +/- Altercasting, +/- Esteem, Moral Appeal, and Aversive Stimulation tactics when compared to the frequency of use in initial attempts.
- Hypothesis 5: In upward, alternate compliance-gaining attempts, a subordinate will increase his or her use of prosocial, relationship maintenance tactics in power categories “relationship/identification” (liking, altruism, positive esteem) and “values/obligations” (pregiving, positive self-feeling, and positive altercasting) when compared to the frequency of use in initial attempts.
- Hypothesis 6: In alternate compliance-gaining attempts involving direct personal gain, a peer will increase use of tactics in the category “values/obligations” (pregiving, debt, moral appeal, +/- self-feeling, and +/- altercasting) when compared to the frequency of use in initial attempts.
- Hypothesis 7: Conversely, in alternate compliance-gaining attempts involving Scenarios of no direct personal gain, a peer will increase use of tactics in the category “expectancies/consequences” (promise, threat, +/- expertise, and aversive stimulation) when compared to the frequency of use in initial attempts.

Operationalization of Independent Variables

The variables of Scenario, Status, and Goals were manipulated via systematic changes to hypothetical situations that are synthesized versions of those employed by Marwell and Schmitt (1967) and Kipnis, Schmidt, and Wilkinson (1980). Scenario was operationalized using two brief narrative paragraphs describing a workplace compliance-gaining context. The two Scenarios were varied according to goal and status differences. These several versions are located in Appendix A.

Goals were operationalized within each Scenario as “direct personal gain” or “no direct personal gain” based on Cody & McLaughlin’s (1980) proposed factors of situational perception. Hypotheses about the impact of goals on tactic choice (presence of a cognitive hierarchy of goals) in alternate compliance-gaining attempts were based on Clark’s (1979) three goal dimensions.

Status was operationalized within each Scenario as “peer-peer” or “subordinate-supervisor” interactions. As outlined in Chapter 1, inclusion of horizontal and upward compliance-gaining communication was based on past research suggesting these are vital and salient modes of influence within organizations (Dillard & Burgoon, 1985; Kipnis, et al., 1980; Krone, 1992; Lamude, et al., 1987). Hypotheses regarding the impact of Status (power) on tactic choice in alternate compliance-gaining attempts were based on the categories of power proposed by Wheelless, Barraclough & Stewart (1983).

Operationalization of Dependent Variables

The dependent variables of initial and alternate tactic choice were operationalized in two ways: (1) by a role-play/recognition procedure utilizing a five-point Likert scale ranging from 1 (very likely to use) to 5 (very unlikely to use) that corresponds to Marwell and Schmitt's (1967) list of sixteen compliance-gaining tactics; and (2) by a free-response, message construction procedure in which participants write what tactic(s) they would use to gain compliance (Clark, 1979; Cody, McLaughlin, & Jordan, 1980; Falbo, 1977; Wiseman & Schenck-Hamlin, 1981). In accord with Marwell and Schmitt's (1967) findings, this study utilized rating scales in preference to a ranking technique because respondents might feel they would use more than one and/or none of the tactics in the provided Scenario.

Although including both procedures in the questionnaire will strengthen the data gathered, only the responses from the Likert scales will be analyzed in this study. Conducting the study in this way will allow for a secondary analysis of the data to determine if a participant's answers differed between these two approaches.

Procedures

Participants & Setting. Subjects were students from large, lecture-type undergraduate communication courses at the University of Delaware during the Winter and Spring semesters of 1995, and the Fall semester of 1996. Concerns for statistical power and significance levels dictated that there must be between 30-35 subjects per the two Scenarios (across four versions each) for a total of eight versions or a 240-320 person sample size. After gathering 250 responses during the Winter/Spring semester of 1995, another 150 responses were obtained in the Fall semester of 1996. Out of 400 students, a final sample size of 391 was achieved.

The participants were informed verbally by the researcher as well as the instruction sheet that the following questionnaire was designed to gather data about persuasion in the workplace, i.e., the use of common methods to get others to do what you want them to do. Participants were asked to "role-play" themselves in the given Scenario, i.e., imagine that they were the individual trying to persuade the other person. Further, students were told that the response portion of the questionnaire was in two parts: (1) a Likert scale section; and (2) a free-response, written message section. They are further informed that completion of both portions would take about 15-20 minutes. The questionnaire was completed in the lecture hall/classroom. See Appendix B for a copy of the questionnaire.

Before beginning the questionnaire, participants were asked to respond to four, brief identification questions that provided demographic data (sex, part or full-time employment, if he/she held a supervisory position, and was his/her job performance formally evaluated by a supervisor), while still assuring anonymity. These questions appeared on the second page of the questionnaire (see Appendix C). The first page of the questionnaire served as a brief description of the study purpose and an informed consent form. On this page, subjects were notified that participation was voluntary and all responses were anonymous and used solely for purposes of analysis in this study (see Appendix D).

Pre-test for "Scenario Believability." Prior to administering the finalized questionnaire, it was determined that the most realistic and believable Scenarios (as perceived by the prospective student sample) must be identified. With this in mind, five hypothetical Scenarios were originally developed and tested by a questionnaire using a 7 point Likert scale ranging from 1 (very unrealistic) to 7 (very realistic)--see Appendix E. To maintain validity, the goal and status differences were the same for all five test Scenarios ("direct personal gain," and "subordinate-supervisor" influence attempt). In the Fall semester of 1995, 67 undergraduate communication students at the University of Delaware read the five Scenarios and determined that the following two were the most "realistic and believable":

Scenario 1: Imagine your firm has assigned you to complete the writing and layout of a marketing plan by a given deadline. This plan is part of the development of an important advertising campaign for a prestigious client's new product. You determine that, on your own, you cannot finish the project by the given deadline. But, your boss has told you that no one else is available to help. You know, however, that if you could persuade your boss to allow someone to help you, you would be

able to complete the marketing plan on time.
Remember, the timely completion of the marketing plan will significantly accelerate your career in advertising.

Scenario 2: Imagine you work for a large corporation in its advertising department. You have worked in your present position as a Senior Account Executive for about 5 years. While you love what you do, your commute is about 1 hour each way to the company's present location. Recently, an opening for a Senior A.E. has come up at a new branch office within 15 minutes of your house. At the branch office, you would handle the same number of important accounts, with the same responsibilities as you now have. A move to the new office would clearly benefit you because it would ease your personal schedule, decrease your expenses, and give you more time to see your clients and get things done.

These scenarios are based on those employed by Kipnis, Schmidt, and Wilkinson (1980) and meet the first two criteria outlined by these authors and broaden the third: (1) they are realistic enough for the prospective student sample to perceive themselves in the test Scenario; (2) they include status and goal differences as these variables might significantly affect the tactics chosen; and (3) they broaden Kipnis, et al.'s criteria in its attempt to measure goals as "personal benefits" in alternate as well as initial compliance gaining attempts, by dichotomizing this concept into "direct personal gain" and "no direct personal gain." This division is based upon Cody and McLaughlin's (1980, p. 143) proposed factors of situational perception. Based on these criteria as well as the student's responses, the other three Scenarios were eliminated: (a) persuade your boss to let you have some funds to attend a seminar; (b) persuade your boss to allow you to have a more flexible schedule so you can help care for an ailing parent; and (c) persuade your boss to purchase a new computer and software so you can complete a data analysis on time.

Final Questionnaire Procedures. To ensure adequate testing of all variables, four different versions of each of the two Scenarios were used, each varied by Goals (direct personal gain or no direct personal gain), and Status (peer-peer or subordinate-supervisor influence attempts). In total, therefore, there were eight Scenarios and two orders of response. The four versions were: (1) peer-peer/direct personal gain; (2) peer-peer/no direct personal gain; (3) subordinate-supervisor/direct personal gain; and (4) subordinate-supervisor/no direct personal gain. The two orders of response were: Order 1 (Likert scale response, followed by the free-response/constructed message); Order 2 (free-response/constructed message, followed by the Likert scale response). See Appendix A.

As stated previously, this study employed role-play/recognition, and message construction procedures to observe the combined behavioral effect that relationships among the independent variables (Scenario, Status, and Goals) have on the dependent variables of alternate and initial tactic choice. Thus, in this inquiry, a composite measure (use of role-play/recognition and message construction techniques) was employed to elicit both initial and alternate influence attempts.

According to the literature reviewed, studies that expose subjects to a role-play/recognition procedure prior to message construction, may introduce several sources of invalidity into the data that are gathered. First, the tactics participants most prefer may not appear in the provided selection. Second, participants must make a single, forced-choice among given alternatives. Third, because subjects are forced to choose which tactics they are more or less likely to use in the Likert scale portion, perceptions are then set as to which influence tactic they might use in an alternate attempt in the

written response section (Greene, 1990; Jackson & Backus, 1982; Dillard & Burgoon, 1985).

An attempt to attenuate these shortfalls was made by assigning participants to response conditions at random. Alternately collating the Likert scale and written portions of the questionnaire ensured that all participants in the room would either be responding first to the Likert scales, then the written section or vice versa. As a result, the questionnaires were pre-sorted in such a way that each participant received and responded to a different version.

To summarize, using both methods alternately in this study accomplishes three things. First, a composite measure will broaden and further define our current understanding of the myriad tactics employed in compliance-gaining Scenarios at work. Such a measure will also more precisely assess the impact of the four variables identified in this study on the selection process.

Second, a combination of procedures (e.g., role-play/recognition and message construction) will allow for the manipulation of contextual (Scenario type, Status) and relational (goals, gender) variables (Jackson & Backus, 1982). As Greene (1990) maintains, both of these tasks include role-play which yields relatively realistic, consistent cues to participants. Most important, these tasks enable subjects to generate constructed thoughts, thus initiating a link between thoughts and actions.

Third, these procedures will be used in combination because they assess both structural (memory storage) and processural (behavior) patterns for interpersonal interaction. Moreover, self-report methods can provide a relatively direct mapping of cognitive data (Waldron & Cegala, 1992).

Analysis of Data. Prior to the main analyses, a preliminary test was conducted on the possible effects of the two, separate messages. The motivation for this test was that if these two messages produced a differential effect on tactic selection, they would have to be analyzed and considered individually. If not, the responses they produced could be combined, thus greatly simplifying the analysis. Accordingly, for each of the seven hypotheses, an analysis examined whether a significant Scenario x Order interaction was produced, where Order represented the initial versus alternate compliance-gaining attempt. These findings will be reported in Chapter 4.

Based on the results of the preliminary analysis, all seven hypotheses were tested using one-way multivariate analysis of variance (MANOVA). These tests utilized the independent variable Order and were performed on various subsets of the data (e.g., direct benefits Scenarios, upward influence Scenarios, etc.) as dictated by the hypotheses. The choice of using these several one-way MANOVA's instead of a massive factorial design (Scenario x Benefits x Goals x Order) was based on a concern for complexity versus simplicity of interpretation. Given the preliminary nature of this investigation, it was decided that the risk of not detecting some higher order (i.e., 3 and 4-way) interactions was offset by the ability to interpret sensibly those findings that were obtained.

Additional analyses were conducted for each hypothesis utilizing univariate ANOVA's to determine whether significant differences existed between the means of the compliance-gaining tactics chosen in initial versus alternate attempts (based on Marwell and Schmitt's 1967, Likert scale list of sixteen compliance-gaining tactics). Resulting scores were divided or clustered according to Prosocial (Promise, Positive Expertise, Liking, Pre-Giving, Positive Self-Feeling, Positive Altercasting, Altruism and Positive

Esteem) and Negative tactics (Threat, Negative Expertise, Aversive Stimulation, Debt, Moral Appeal, Negative Self-feeling, Negative Altercasting and Negative Esteem). Specific clusters of these compliance-gaining tactics corresponded to each of the 7 hypotheses.

Chapter 3

RESULTS

The statistical procedures applied to these data yielded interesting and diverse findings. Initially, the results of the preliminary test for the Scenario x Order interaction are reported. As we shall see, these findings indicate that the responses to the two Scenarios can be combined into a single analysis. Second, the results of the multivariate analysis of variance (MANOVA) procedures are reported. After subsetting the data as specified by the hypotheses, these procedures were applied to the independent variable Order. This produced a test for differences in the likelihood of tactic selection between initial and alternate compliance-gaining attempts.

Next, each of the seven hypotheses were examined in more detail through the results of univariate F-tests. The means of the variables that comprise the cluster of tactics corresponding to each hypothesis are presented in Tables 3.1 - 3.7. Means are displayed for both types of attempts, i.e., initial and alternate. These analyses will indicate whether the individual and group means differed significantly from each other in the predicted directions.

Description of Sample

As described in Chapter 2, before beginning the questionnaire, participants were asked to respond to four, brief identification questions that provided demographic data (while still assuring anonymity): (1) Gender: Out of a total of 391 respondents, 276 or 30% were male and 115 or 71% were female; (2) "Have you been employed?":

387 or 99% answered “Yes” and only 4 or 1% answered “No” and “If yes, part-time or full-time?” 299 or 77% answered Part-time, and 92 or 24% answered Full-time; (3) “Have you held a supervisory position?”: 108 or 28% answered “Yes,” and 283 or 72% answered “No”; (4) “Was your job performance formally evaluated by a supervisor?”: 276 or 71% answered “Yes,” and 115 or 29% answered “No.”

Even though the sample consisted primarily of females, gender was not included in this study as a variable, and therefore, this discrepancy did not materially impact the findings. As stated in Chapter 1, research indicates sex of a superior or peer exerts little substantial influence on tactics chosen to gain compliance. Any differences were better accounted for by perceptions of Scenario, Goals, and Status (Berger, 1988; Berger & Bell, 1988; Canary, et al., 1988; Hirokawa, Mickey, & Miura, 1991; Kipnis, et al., 1980; and Offerman & Shrier, 1985).

Preliminary Test

Based on the recommendations of Jackson (1992) and Jackson and Jacobs (1983), two hypothetical Scenarios were employed as stimulus material in this study. The purpose of these multiple messages is to ensure that any subsequent effects are not due to some unique, idiosyncratic attribute of the message, as opposed to the hypothesized effects of the independent variables. Although this is an important and necessary safeguard to generalizability, the ideal outcome would be for the two Scenarios to produce similar effects, thus allowing their responses to be combined into a single analysis.

This possibility was examined by conducting a separate 2 x 2, factorial MANOVA for each of the seven hypotheses. In this analysis, the independent variables were Scenario (“help with plan” versus “move to new office”) and Order (initial versus

alternate compliance-gaining attempts). The key test in these analyses is the Scenario x Order interaction. A significant finding would indicate that the two Scenarios produced differential changes in tactic selection across the two attempts, thus requiring separate analyses of the responses to each Scenario.

The results of the seven tests of the Scenario x Order interaction were unequivocal. No test was found to be significant at the $p < .05$ level. Although the multivariate nature of these tests does not allow for the precise calculation of their statistical power, the least powerful test was, nonetheless, based on a sample size of $N = 191$. Such a large sample would suggest more than sufficient power to accept these nonsignificant findings as valid. As a result, the remaining analyses will be based on the combined responses from both Scenarios.

Hypothesis 1

Hypothesis 1 predicted that in upward and horizontal work relationships, the frequency with which prosocial tactics are used will *increase* in alternate compliance gaining attempts when compared to the frequency of use in initial attempts.

Overall, the results of the multivariate analysis of variance (MANOVA) support Hypothesis 1 ($F = 2.32$; $df = 8,382$; $p < .0196$). In alternate compliance gaining attempts, the frequency with which prosocial tactics were used increased when compared to the frequency of use in initial attempts.

The means of the eight variables that comprise the set of prosocial tactics are found in Table 3.1. Means are displayed for both types of attempts, i.e., initial and alternate. As Table 3.1 suggests, the tactics of Promise and Pre-giving contributed most heavily to this multivariate difference. The remaining tactics were not significantly

different between types of attempts and, as Table 3.1 indicates, their means were very similar.

Table 3.1 Means for Initial and Alternate Compliance-Gaining Attempts: Pro-Social Tactics (N = 391)

Tactic	Initial Attempt	Alternate Attempt
Promise*	3.42	3.87
Positive Expertise	3.98	4.14
Liking	3.98	4.11
Pre-Giving**	3.44	3.82
Positive Self-Feeling	3.21	3.40
Positive Altercasting	2.16	2.18
Altruism	3.93	3.97
Positive Esteem	2.70	2.74

* p < .0004

** P < .0009

Hypothesis 2

Hypothesis 2 predicted that in alternate compliance-gaining attempts, situational factors (e.g., a desire to preserve relational stability, the self-esteem of the persuadee, and presence of a personal "negative threshold") will *decrease* negative/aggressive tactic use when compared to the frequency of use in initial attempts.

Although the results of the MANOVA indicated a significant difference between initial and alternate tactic choice ($F = 3.63$; $df = 8.382$; $p < .0004$) the observed differences were not in the predicted direction. The use of negative/aggressive tactics due to situational factors actually increased in alternate attempts, rather than decreased as postulated in Hypothesis 2.

Listed in Table 3.2 are the means of the eight variables that comprise the cluster of negative/aggressive tactics. Again, means are displayed for both initial and

alternate attempts. As Table 3.2 suggests, the tactics of Moral Appeal and Threat contributed most heavily to the multivariate difference (Moral Appeal $p < .0005$; Threat $p < .003$) with Aversive Stimulation at $p < .010$ and Negative Expertise at $p < .022$ also contributing to this finding. However, the individual means for all four variables were still higher in the alternate versus initial attempts. The remaining tactics were not significantly different between types of attempts and their means were very similar, but higher in alternate attempts.

Table 3.2 Means for Initial and Alternate Compliance-Gaining Attempts: Negative/Aggressive Tactics (N = 391)

Tactic	Initial Attempt	Alternate Attempt
Threat**	2.88	3.27
Negative Expertise****	2.61	2.88
Aversive Stimulation***	2.48	2.78
Debt	2.12	2.27
Moral Appeal*	2.95	3.37
Negative Self-Feeling	3.06	3.14
Negative Altercasting	1.44	1.58
Negative Esteem	2.16	2.10

* $p < .00005$ *** $p < .010$
 ** $p < .003$ **** $p < .022$

Hypothesis 3

Hypothesis 3 predicted that in alternate compliance-gaining attempts involving direct personal gain, reliance on interpersonal goals will *increase* the use of Debt, Altruism, Liking, Pre-giving, Positive and Negative Expertise, Promise and Threat tactics when compared to the frequency of use in initial attempts.

On the whole, the results of the MANOVA support Hypothesis 3 ($F = 2.72$; $df = 8,183$; $p < .0074$). In alternate compliance gaining attempts, the frequency with which Debt, Altruism, Liking, Pre-giving, Positive and Negative Expertise, Promise and Threat tactics were used increased when compared to the frequency of use in initial attempts. As predicted, reliance on interpersonal goals increased the use of these tactics in Scenarios involving direct personal gain.

The means of the eight variables comprising the cluster of tactics invoked in Scenarios of direct personal gain, where reliance on interpersonal goals increases the use of these tactics, are found in Table 3.3. As indicated in Table 3.3, the tactics of Pre-giving, Promise, Threat and Positive Expertise contributed most heavily to this multivariate difference. The tactic of Liking ($p < .088$) came close to significance and, thus, also contributed to this overall finding. No significant difference was reported between types of attempts for the remaining tactics Negative Expertise, Debt and Altruism, and their means were very similar.

Table 3.3 Means for Initial and Alternate Compliance-Gaining Attempts: Scenarios of Direct Personal Gain, Reliance on Interpersonal Goals (N = 192)

Tactic	Initial Attempt	Alternate Attempt
Promise**	3.33	3.90
Threat****	2.70	3.13
Positive Expertise***	4.00	4.20
Negative Expertise	2.42	2.66
Liking	3.91	4.20
Pre-Giving*	3.20	3.81
Debt	2.21	2.31
Altruism	4.00	4.03

* p < .0001
 ** p < .001
 *** p < .001
 **** p < .05

Hypothesis 4

Hypothesis 4 predicted that in alternate compliance-gaining attempts involving direct personal gain, reliance on management of identity goals will *increase* the use of Positive and Negative Self-feeling, Positive and Negative Altercasting, Positive and Negative Esteem, Moral Appeal, and Aversive Stimulation tactics when compared to the frequency of use in initial attempts.

The results of the MANOVA do not support Hypothesis 4 ($F = 1.86$; $df = 8,183$; $p < .0685$). On the whole, use of Positive Self-feeling, Negative Self-feeling, Positive Altercasting, Negative Altercasting, Positive Esteem, Negative Esteem, Moral Appeal, and Aversive Stimulation tactics, due to management of identity goals, did not increase as predicted in alternate attempts, when compared to the frequency of use in initial attempts.

The means for the eight variables that include tactics invoked in Scenarios of direct personal gain, where reliance on management of identity goals increases the use

of these tactics, are found in Table 3.4. As suggested in Table 3.4, only the tactic of Moral Appeal contributed to this nonsignificant multivariate finding. The tactic of Negative Self-Feeling ($p < .075$) came close to significance and contributed to this overall result. No significant differences were reported between types of attempts for the tactics of Aversive Stimulation, Positive Self-feeling, and Negative Altercasting and their means were very similar. The remaining tactics, Negative Esteem, Positive Altercasting and Positive Esteem displayed nonsignificant differences in the opposite direction.

Table 3.4 Means for Initial and Alternate Compliance-Gaining Attempts: Scenarios of Direct Personal Gain, Reliance on Management of Identity Goals (N = 192)

Tactic	Initial Attempt	Alternate Attempt
Aversive Stimulation	2.46	2.70
Moral Appeal*	2.94	3.40
Positive Self-Feeling	3.50	3.64
Negative Self-Feeling	2.94	3.23
Positive Altercasting	2.32	2.20
Negative Altercasting	1.50	1.60
Positive Esteem	2.90	2.83
Negative Esteem	2.30	2.15

* $p < .01$

Hypothesis 5

Hypothesis 5 predicted that in upward, alternate compliance-gaining attempts, a subordinate will *increase* his or her use of prosocial, relationship maintenance tactics in the category “relationship/identification” (liking, altruism, positive

esteem) and “values/obligations” (pre-giving, positive self-feeling, and positive altercasting) when compared to the frequency of use in initial attempts.

The results of the MANOVA support Hypothesis 5 ($F = 2.73$; $df = 6,185$; $p < .0143$). In upward, alternate compliance gaining attempts, reliance on relationship maintenance tactics, specifically “relationship/identification” and “values/obligations,” increased the use of these particular tactics.

The means of the six variables comprising the set of prosocial tactics are found in Table 3.5. As indicated, only the tactic of Pre-giving ($p < .0001$) contributed to this multivariate difference. Liking was close to significance ($p < .088$) and, therefore, also contributed to this overall result. No significant difference between types of attempts was reported between Positive Self-feeling and Altruism, and their means were very similar. The remaining tactics, Positive Altercasting and Positive Esteem displayed nonsignificant differences in the opposite direction.

Table 3.5 Means for Initial and Alternate Compliance-Gaining Attempts: Scenarios of Upward Compliance-Gaining, Subordinate use of Prosocial, Relationship Maintenance Tactics (N = 192)

Tactic	Initial Attempt	Alternate Attempt
Liking	3.91	4.17
Pre-Giving*	3.20	3.81
Positive Self-Feeling	3.48	3.64
Positive Altercasting	2.33	2.20
Altruism	4.00	4.03
Positive Esteem	2.90	2.83

* p < .0001

Hypothesis 6

Hypothesis 6 predicted that in alternate compliance-gaining attempts, involving direct personal gain, a peer will *increase* use of tactics in the category “values/obligations” (pre-giving, debt, moral appeal, positive and negative self-feeling, and positive and negative altercasting) when compared to the frequency of use in initial attempts.

Overall, the results of the MANOVA support Hypothesis 6 ($F = 4.205$; $df = 7,184$; $p < .0003$). In horizontal, alternate compliance gaining attempts, involving direct personal gain, reliance on relationship maintenance tactics, specifically “values/obligations,” increased the use of these particular tactics.

The means of the seven variables making up the set of tactics in the category “values/obligations” are found in Table 3.6. As suggested, the tactics of Pre-giving and Moral Appeal contributed most heavily to this multivariate difference. The tactic of Negative Self-feeling was close to significance ($p < .0753$) and also contributed to this overall finding. The tactics of Positive Self-feeling, Debt, and Negative Esteem were not significantly different between types of attempts, and their means were very

similar. The remaining tactic, Positive Altercasting, displayed nonsignificant differences in the opposite direction.

Table 3.6 Means for Initial and Alternate Compliance-Gaining Attempts: Scenarios of Direct Personal Gain in Horizontal Compliance-Gaining Attempts, Peer use of Relationship Maintenance Tactics (N = 192)

Tactic	Initial Attempt	Alternate Attempt
Pre-Giving*	3.20	3.81
Debt	2.21	2.31
Moral Appeal**	2.94	3.40
Positive Self-Feeling	3.48	3.64
Negative Self-Feeling	2.94	3.23
Positive Altercasting	2.33	2.20
Negative Esteem	1.50	1.56

* p < .0001

** p < .01

Hypothesis 7

Hypothesis 7 predicted that in alternate compliance-gaining attempts, involving Scenarios of no direct personal gain, a peer will *increase* use of tactics in the category “expectancies-consequences” (promise, threat, positive and negative expertise, and aversive stimulation) when compared to frequency of use in initial attempts.

The results of the MANOVA support Hypothesis 7 ($F = 2.84$; $df = 5, 186$; $p < .0168$). In horizontal, alternate compliance gaining attempts, involving Scenarios of no direct personal gain, reliance on relationship maintenance tactics, specifically “expectancies-consequences,” increased the use of these particular tactics.

The means of the five variables that comprise the set of tactics in the category “expectancies-consequences” are found in Table 3.7. As Table 3.7 suggests,

the tactics of Promise and Threat contributed most heavily to this multivariate difference. The remaining tactics Negative Expertise, Positive Expertise and Aversive Stimulation were not significantly different between types of attempts and, as Table 3.7 indicates, their means were very similar.

Table 3.7 Means for Initial and Alternate Compliance-Gaining Attempts: Scenarios of No Direct Personal Gain in Horizontal Compliance-Gaining Attempts, Peer use of Relationship Maintenance Tactics (N = 192)

Tactic	Initial Attempt	Alternate Attempt
Promise*	3.33	3.90
Threat**	2.70	3.13
Positive Expertise	4.00	4.20
Negative Expertise	2.42	2.66
Aversive Stimulation	2.46	2.70

* p < .001

** p < .005

Conclusion

The results of the MANOVA procedures support six of the seven hypotheses. Test statistics for the MANOVA's indicate there is a significant difference between initial and alternate compliance-gaining attempts and the tactics chosen in these Scenarios. For Hypothesis 1, MANOVA results indicate that in alternate compliance gaining attempts, the frequency with which prosocial tactics are used increases when compared to the frequency of use in initial attempts. The tactics of Promise and Pre-giving contributed most heavily to this difference. The tactic of Liking was close to significance ($p < .088$) and, thus, also contributed to this overall finding. In fact, where the prosocial tactic, "Liking" was also an option (Hypothesis 3 & 5), it came close to significance at $p < .088$ in Hypothesis 5 only.

The MANOVA results did not support the predictions of Hypothesis 2; the use of negative/aggressive tactics due to situational factors did, in fact, increase in alternate attempts, when compared to frequency of use in initial attempts. Moral Appeal and Threat contributed most heavily to the multivariate difference (Moral Appeal $p < .0005$; Threat $p < .003$) with Aversive Stimulation at $p < .010$ and Negative Expertise at $p < .022$ also contributing to this finding.

MANOVA results also support Hypothesis 3, in alternate compliance gaining attempts, the frequency with which Debt, Altruism, Liking, Pre-giving, Positive and Negative Expertise, Promise and Threat tactics are used increase when compared to the frequency of use in initial attempts. As predicted, reliance on interpersonal goals increase the use of these tactics in Scenarios involving direct personal gain. The tactics of Pre-giving, Promise, Threat and Positive Expertise contributed most heavily to this multivariate difference; Liking came close to significance at $p < .088$.

Results for Hypothesis 5 indicate that in upward, alternate compliance gaining attempts, reliance on relationship maintenance tactics, specifically “relationship/identification” and “values/obligations,” increase the use of these particular tactics. Only the tactic of Pre-giving contributed to this multivariate difference. Again, Liking was close to significance at $p < .088$.

Hypothesis 6 and 7 were supported by the data. Hypothesis 6 predicted that in horizontal, alternate compliance gaining attempts, involving direct personal gain, reliance on relationship maintenance tactics, specifically “values/obligations,” increase the use of these particular tactics. The tactics of Pre-giving and Moral Appeal contributed most heavily to this multivariate difference. The tactic of Negative Self-feeling was close to significance ($p < .0753$) and also contributed to the overall finding.

Hypothesis 7 predicted that in horizontal, alternate compliance gaining attempts, involving Scenarios of no direct personal gain, reliance on relationship maintenance tactics, specifically “expectancies-consequences,” increase the use of these particular tactics. Tactics of Promise and Threat contributed most to this difference.

On the other hand, findings did not support one of the seven hypotheses. Regarding Hypothesis 4, use of Positive Self-feeling, Negative Self-feeling, Positive Altercasting, Negative Altercasting, Positive Esteem, Negative Esteem, Moral Appeal, and Aversive Stimulation tactics, due to management of identity goals, did not increase as predicted in alternate attempts, when compared to the frequency of use in initial attempts. Only the tactic of Moral Appeal contributed to this nonsignificant multivariate finding. Negative Self-Feeling came close to significance and contributed to the overall result.

These findings will be discussed in Chapter 4. In addition, Chapter 4 will present (1) potential shortcomings of this study, and (2) directions for future research.

Chapter 4

DISCUSSION

Recall from Chapter I, the theoretical research objective of this inquiry was to provide a reasonable explanation of the cognitive operations people employ when their initial compliance-gaining attempt fails and an alternate attempt is invoked. It was hoped that such an explanation would thereby establish a connection between thoughts and actions (i.e., compliance-gaining tactic choice) through the mechanisms proposed by Action Assembly Theory [hereafter, AAT (Greene 1984a)] and Planning Theory (Berger, 1988).

Both AAT and Planning Theory were applied in this investigation because, together, they offer unique insights into the connection between cognitions and compliance-gaining behavior by addressing how cognitions might influence the dynamic and ongoing production of communication behavior. Both theories are framed by three underlying assumptions: (1) they hold that people are perceived as planning, intentional, and purposeful, not merely automatons responding merely to situational demands; (2) both theories maintain that mental or cognitive planning precedes action; and (3) both perspectives support the notion that mental processes are primary in producing our behavior, and behavior is the result of continually analyzing meaning and monitoring goal planning, thereby guiding the ongoing generation of responses.

Although AAT and Planning Theory do not specifically address alternate compliance-gaining attempts per se, they were applied here to examine what may happen cognitively when an initial compliance-gaining attempt fails and another attempt must be

made to reach a desired goal. Planning Theory indicates probable cognitive and behavioral reactions to initial communication failure, and AAT provides a more detailed framework for explaining the nature of cognitive information structures, as well as the processes which operate over these structures to produce communication action (Greene, 1984a; Greene, 1984b; Greene, 1990; Greene & Lindsey, 1989; Greene, Smith, & Lindsey, 1990).

The application of AAT and Planning Theory to the current findings offers:

- (1) Confirmation that there are in fact changes in the likelihood of compliance-gaining tactic use in alternate versus initial persuasion attempts. Based on the literature review, we saw that most, if not all, previous research on compliance-gaining examined only initial, downward attempts. In contrast, this study compared initial and alternate tactic choice in horizontal (peer-peer) and upward (subordinate-supervisor) persuasion attempts. The data showed that across both hypothetical Scenarios, six of the seven hypotheses were confirmed by the findings, and therefore, upheld the conclusion that there are changes in compliance-gaining tactic use between alternate and initial persuasion attempts.
- (2) A reasonable explanation for the kind of cognitive effort that occurs on the part of the persuader when attempting to gain the compliance of a peer or a supervisor after their first attempt has failed. In the absence of a strong theoretical framework (such as AAT and Planning Theory), the conclusions of previous inquiries tended to be simplistic, and focused narrowly on likelihood of use or frequency of occurrence of a given compliance-gaining tactic in initial attempts only--disregarding the cognitive iterations people engage in when choosing alternate persuasion tactics. In the current study, these theories provide a preliminary explanation for not only likelihood and frequency of use, but for differences in the cognitive processes people engage in during initial and alternate compliance-gaining scenarios.

Changes in Likelihood of Use

Across both hypothetical situations employed in this study, as varied by goal and status differences, the findings confirmed six of the seven hypotheses and

therefore, the presence of changes in the likelihood of compliance-gaining tactic use among Scenario, Goals, and Status in alternate versus initial tactic choice.

Scenario. Hypothesis 1 predicted that, in upward and horizontal work relationships, the frequency with which prosocial tactics are used will increase in alternate compliance-gaining attempts when compared to the frequency of use in initial attempts. The findings pointed toward a more frequent use of prosocial compliance-gaining tactics in both subordinate-supervisor and peer-peer alternate attempts.

To review, the variable Scenario, was operationalized by two brief narrative paragraphs describing a workplace compliance-gaining context that included a persuasive goal (benefits self or benefits other) and status differences (subordinate-supervisor or peer-peer communication). Prosocial tactics include: Promise, Positive Expertise, Liking, Pre-giving, Positive Self-feeling, Positive Altercasting, and Positive Esteem (Marwell & Schmitt, 1967).

In Hypothesis 1, Promise (If you comply, I will reward you) and Pre-giving (Actor rewards target before requesting compliance) contributed most heavily to the difference between the frequency of prosocial tactic use in alternate attempts vs. the frequency of use in initial attempts. This may be due to the fact that these tactics involved “reward” (either before compliance “Pre-giving” or after “Promise”). The conclusion may be drawn that the idea of “rewarding” the persuadee is perceived by the actor as more effective and having more impact in gaining compliance if used in the second attempt as well as the first. The notion being that if the persuader put the target in a “good frame of mind” they would comply with the request made. The findings for Hypothesis 1 not only support past compliance-gaining research on the use of prosocial tactics in initial attempts (Clark, 1979; Cody, McLaughlin & Jordan, 1980; Hunter &

Boster, 1987; Levine & Wheelless, 1990), but they also extended it. These results demonstrated that in alternate attempts as well, use of prosocial tactics that invoke favorable affect in the receiver are used more often than those that may potentially create negative reactions.

Further, the supporting literature on initial attempts found that subjects tended to use more positive instead of negative tactics, and evaluated the emotional impact of a tactic on the other person (Levine & Wheelless, 1990). And, past research on initial attempts strongly suggests that there is, in fact, a strong desire on the part of the persuader to preserve the self-esteem of the persuadee (“management of identity goals,” Clark, 1979) and (Cody, et al., 1980).

Hypothesis 2 predicted that in alternate compliance-gaining attempts, situational factors (e.g., a desire to preserve relational stability, the self-esteem of the persuadee, and presence of a personal “negative threshold”) will decrease negative/aggressive tactic use when compared to frequency of use in initial attempts. This hypothesis was not confirmed by the multivariate data. Overall, the findings suggested an increased use of negative/aggressive tactics, with the exception of Negative Esteem. Negative tactics include: Threat, Negative Expertise, Aversive Stimulation, Debt, Moral Appeal, Negative Self-feeling, Negative Altercasting, and Negative Esteem (Marwell & Schmitt, 1967).

These results not only call into question the notion that in alternate as well as initial attempts, more positive than negative tactics will be used, but also the position that (in contrast to the supporting literature) tactic choice may not be shaped by a “personal negative threshold,” that is, the drive to preserve relational stability and the self-esteem of the other (Infante, Anderson, Martin, Herington, and Kim, 1993).

Taken as a whole, the findings for Hypothesis 2 are incongruent, not only with the findings in the other six hypotheses, but also with the supporting literature on initial attempts, which found that subjects tended to use more positive instead of negative tactics, and cognitively evaluated the emotional impact of a tactic on the other person (Levine & Wheelless, 1990). Nonetheless, past research on initial attempts strongly suggests that there is, in fact, a strong desire on the part of the persuader to preserve the self-esteem of the persuadee (Clark, 1979) and (Cody, et al., 1980).

Goals. The findings confirmed Hypothesis 3 which predicted that in alternate compliance-gaining attempts involving direct personal gain, reliance on interpersonal goals would increase the use of Debt, Altruism, Liking, Pre-giving, Positive/Negative Expertise, Promise, and Threat tactics when compared to the frequency of use in initial attempts. The variable, Goals, was operationalized within each hypothetical scenario as “direct personal gain” or “no direct personal gain” (Cody & McLaughlin, 1980, p. 143).

The findings supported the notion that reliance on interpersonal goals (maintenance of a specified relationship) increased the use of these tactics (Clark, 1979). In particular, the tactics of Pre-giving, Promise, Threat and Positive Expertise contributed most to the difference between the frequency of prosocial tactic use in alternate attempts vs. the frequency of use in initial attempts. This may be due to the fact that these tactics involved potential “rewards” (before compliance “Pre-giving” or after “Promise” and “Positive Expertise”) and the withholding of it (“Threat” - punishment.

The conclusion may be drawn that the idea of “rewarding” the persuadee is perceived by the actor as a more powerful way to gain compliance when used in second as opposed to first attempts. Liking (Actor is friendly and helpful to target), was close

to significance at $p < .088$ and contributed to the overall finding. Liking relies less on “rewards” and more on getting the target into a “positive mind set” so they will comply *voluntarily*, thereby gaining what is perceived as a self-satisfactory or self-acquired reward (i.e., that they made the decision themselves to help the other person).

As in Hypothesis 1, the findings for Hypothesis 3 also support research regarding use of prosocial tactics in initial attempts (Clark, 1979; Cody, McLaughlin & Jordan, 1980; Hunter & Boster, 1987; Levine & Wheelless, 1990) and extend it by demonstrating that in alternate attempts, use of prosocial tactics that effect positive feelings in the receiver are used over those that can create negative feelings.

In Hypothesis 3, goals as personal benefits were consistently found to have a strong positive association with tactic selection. This was not true, however, in Hypothesis 4. Hypothesis 4 predicted that in alternate compliance-gaining attempts involving direct personal gain, reliance on management of identity goals would increase the use of Positive/Negative Self-feeling, Positive/Negative Altercasting, Positive/Negative Esteem, Moral Appeal, and Aversive Stimulation tactics when compared to frequency of use in initial attempts. The findings did not support the notion that reliance on management of identity goals (maintenance of a desired self-image and/or self-esteem) would increase the use of these tactics (Clark, 1979).

As in Hypothesis 2, subjects employed tactics that forced the persuadee to question their perception of themselves, hence the tactics of Negative Self-feeling and Moral Appeal came close to significance. The remaining tactics (Altercasting, Esteem, and Aversive Stimulation) focus on “other” based perceptions or “person-centeredness” (Burlison, 1989), suggesting that, within the parameters of a second attempt,

maintaining a certain self-image or self-esteem is not as important as maintaining the interpersonal goal of a specific relationship between two people in a given situation.

Status. In Hypothesis 5, Pre-giving and Liking were the only tactics that supported the notion that in alternate attempts, a subordinate will increase the use of prosocial, relationship maintenance tactics in power categories “relationship/identification” and “values/obligations” when compared to the frequency of use in initial attempts. The variable, Status, was operationalized within each hypothetical situation as “peer-peer” or “subordinate-supervisor” (Dillard & Burgoon, 1985; Kipnis, et al., 1980; Krone, 1992; Lamude, et al. 1987). The findings supported the idea that in upward, alternate compliance-gaining attempts, reliance on relationship maintenance tactics in power category “relationship/identification” (subordinate use of referent or expert power to indicate superior’s competence and/or respect for superior) and “values/obligations” (subordinate use of legitimate power to indicate duty to comply) increased the use of prosocial tactics (Wheless, Barraclough & Stewart, 1983).

In particular, the tactics of Pre-giving and Liking contributed most to the difference between frequency of prosocial tactic use in alternate versus frequency of use in initial attempts. This may be due to the fact that, as in Hypothesis 3, these tactics involved potential “rewards” (before compliance, “Pre-giving”) and Liking was close to significance at $p < .008$.

As in Hypothesis 3, the findings for Hypothesis 5 also support research regarding use of prosocial tactics in initial attempts, and extend it by demonstrating that in alternate attempts, use of prosocial tactics, effecting positive feelings in the receiver, are used over those that potentially create negative feelings.

Of note, given that the power category in this hypothesis “relationship/identification” focused on a subordinate’s awareness of a supervisor’s expertise and competence, it seems counterintuitive that, at least, Positive and/or Negative Esteem did not contribute significantly to the findings in support of Hypothesis 5. Perhaps the respondents did not feel it was a subordinate’s place to intimate to the persuadee that people they value would think better or worse of them if they did or did not comply with their request.

Hypothesis 6 predicted that in situations *involving direct personal gain*, a peer will increase use of tactics in the category “values/obligations” when compared to the frequency of use in initial attempts. Conversely, Hypothesis 7 predicted that in situations involving *no direct personal gain*, a peer will increase use of tactics in the category “expectancies/consequences” when compared to the frequency of use in initial attempts.

In Hypothesis 6, (a situation of direct personal gain) the tactics of Pre-giving and Moral Appeal increased in use during alternate influence attempts versus use during initial attempts. Negative Self-feeling came close to significance ($p < .0753$). In Hypothesis 7, the tactics of Promise and Threat increased in use during alternate compliance-gaining attempts.

Connections to AAT and Planning Theory

To illustrate the application of AAT and Planning Theory, the findings in this study strongly support, the common tenet of both AAT and Planning Theory, that cognitive planning precedes action, and that mental processes are primary in producing our behavior. For instance, in five of the seven hypotheses (1, 3, 5, 6 & 7), the findings pointed toward a more frequent use of prosocial compliance-gaining tactics in

both subordinate-supervisor and peer-peer alternate attempts. Specifically, the tactics of Pre-giving, Promise and Liking contributed most heavily to the difference in tactic use between initial and alternate attempts.

The more frequent choice of statistically significant “rewarding” and/or “positive mind set” tactics in a second attempt, indicates that we cognitively evaluate a Scenario, weighing Status and Goal differences, to determine what our most effective communication action should be. Ideally, as the persuader, we would like the persuadee to comply with our request *voluntarily*, thereby gaining what is *perceived* by the other as a self-satisfactory or perhaps more important, a self-acquired "reward," i.e., that they made the decision themselves to help you.

The greater use of “prosocial” tactics in alternate attempts may indicate that secondary persuasion scenarios are implicitly more complex, specifically, the cognitive processing that precedes the interaction itself. This is particularly true in a workplace context due to the presence of myriad goal, status, and interaction variables. These alternative attempts are also cognitively much different to the participant (persuader), thus requiring the application of a more cognitively complex persuasion tactic.

The findings in this study support past research which illustrates that Prosocial tactics require more cognitive effort to produce than negative/aggressive tactics (Burlison, 1989; Clark, 1979; Greene, 1989; Greene, 1990b; Hunter & Boster, 1987; Waldron & Krone, 1991). Clearly, use of prosocial tactics in alternate attempts is what Burlison (1989) called applying “person-centeredness” to an interaction. That is, the use of prosocial tactics requires the persuader to understand the persuadee enough to integrate their need to gain compliance (and adapt tactic choice accordingly) with the persuadee’s obstacles to giving that compliance in order for their persuasion goal to be a

success. Further, as Greene (1989) holds, when our goals are thwarted, and we are forced to “try again,” it is likely that we compensate by cognitively retrieving less readily available persuasion tactics, thereby assembling more cognitively complex behavior structures (i.e., prosocial “procedural records” and/or “plans”).

Recall from Chapter 1, past research provides evidence that these cognitive “records” and/or “plans” (framed by AAT and Planning Theory) function hierarchically and are accretive (Berger, 1988; Berger & DiBattista, 1993; Greene 1984a; 1984b; Greene, Smith & Lindsey, 1990). The current study demonstrates this “accretive model” of cognitive planning. The more complex the task (e.g., asking participants to imagine themselves in hypothetical scenarios at work attempting to persuade a peer or a supervisor), and the more variables that are involved (like Status and Goal differences), the persuader's cognitive processes build upon tactics by calling up those less readily available, thus producing a more complex “prosocial” action outcome (Greene, 1989).

Of course, a mixture of prosocial as well as negative compliance-gaining tactics were recorded, particularly in peer to peer scenarios. These findings may be due to the notion that in horizontal communication scenarios, the subjects perceived themselves to be of equal status and, therefore, were more likely to employ not only prosocial tactics, but also try their hand at negative tactics (i.e., Threat, Moral Appeal, and Negative Self-feeling). Therefore, participants cognitively accounted for status differences, and these thought process either attenuated (in the case of strictly subordinate-supervisor persuasion attempts) or expanded the compliance-gaining tactic choices made by the persuader.

To further illustrate, this “accretive model” or hierarchical function of cognitive planning, many researchers espouse goals as a vital factor in tactic choice and

recognize that there is compelling evidence for a cognitive hierarchy of goals (Canary, Cunningham & Cody, 1988; Cantor & Mischel, 1979; Greene, 1984a, 1989, 1990). The results of this study strongly support the contention that our communication responses are a combination of continually analyzing the meaning in a Scenario, one's perceptions of Status differences, and the monitoring of Goal planning.

Both AAT and Planning Theory posit that these cognitive planning processes precede action and produce our behavior. For example, Hypothesis 4 indicated that maintaining self-esteem and a desired self-image is evidence of a cognitive hierarchy of goals that may aid in determining tactic choice. The application of Clark's (1979) three goal dimensions (1) Instrumental/Task; (2) Interpersonal; and (3) Management of Identity provided a framework for explaining the impact of goals (concomitant with the effects of individual perceptions of Scenario and Status differences) on tactic choice in alternate influence attempts.

Overall, as we might expect in Scenarios of peer-peer persuasion attempts, the findings demonstrated the use of a mixture of prosocial (positive) as well as negative compliance-gaining tactics during second attempts. This may be due to the perception that in horizontal communication Scenarios, the persuader and persuadee are of equal status, thus decreasing or eliminating the possibility for retribution by the persuadee. Because of equal status, peers are more likely to employ not only prosocial tactics such as Promise and Pre-giving, but also try their hand at negative tactics (i.e., Threat, Moral Appeal, and Negative Self-feeling).

In contrast, in upward communication Scenarios, a persuader does not have the advantage of equal status, and compliance-gaining attempts are, therefore, more likely to be limited to prosocial tactic use. That is, because of the real as well as

perceived status difference between subordinate and supervisor, certain behavioral norms come into play as to how a subordinate should ask for help, favors, etc. from a supervisor.

Potential Shortcomings of the Study & Directions for Future Research

First, this study utilized two widely applied methods of data collection for compliance-gaining research: the checklist response and written or constructed message response. However, only the checklist responses (based on a five-point Likert scale corresponding to Marwell and Schmitt's (1967) list of sixteen compliance-gaining tactics) were analyzed in this study. As noted in Chapter 1, studies have shown checklists invoke responses with inherent "item desirability effect," that is, participants tend to choose the most socially appropriate compliance-gaining strategies and not those they would actually use in "real-life" situations (Burlison, et al., 1988; Clark, 1979; Cody, et al., 1980).

A secondary analysis of the data should be conducted in the future to determine if a participant's responses differed between these two approaches. Analyzing the constructed message responses, might lead to a deeper understanding of the cognitive processes shaping the communication behavior; in this case, compliance-gaining tactic choice in alternate attempts.

For example, the cited literature suggested that there is evidence of a "personal negative threshold" based on a desire to preserve relational stability and self-esteem of the other. By analyzing constructed message responses, AAT and Planning could be applied to explore the activation of a subject's relevant procedural records/plans, and how they cognitively determine to what extent they are willing to risk

selecting a less positive, harsher tactic to gain compliance in alternate versus initial attempts (Berger, 1988; Greene, Smith & Lindsey, 1990).

Second, this inquiry does not examine what effect these secondary tactic choices have on the persuadee. Accordingly, a future study should ask, "Would the persuadee have these same expectations in alternate persuasion attempts?" In addition, although gender was not included in this study, "Would gender differences emerge regarding the expectations of the persuadee in alternate persuasion attempts?" Recall from Chapter 1 that within initial compliance-gaining attempts, past research indicated no significant differences between the compliance-gaining tactic choices of men and women in the workplace. Any differences observed were better accounted for by perceptions of Status and Goal differences. Future research should address the question, "Would the same be true on the part of the persuadee?"

Third, this inquiry has provided a reasonable explanation for what happens when a first attempt at gaining the compliance of another fails and a second attempt is made. It is recognized, however, that this study compared primarily "changes in likelihood of use" of tactic choices between initial and alternate attempts. Continued research focusing on alternate compliance-gaining attempts and the application of cognitive process theories such as AAT and Planning Theory, to explore the cognitive mechanisms underlying the production of persuasion tactics, will aid in the further development of cognitive communication research.

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Appendix A
SCENARIOS

Scenario 1, Version 1, Order 2

(subordinate - supervisor, benefits self)

Imagine your firm has assigned you to complete the writing and layout of a marketing plan by a given deadline. This plan is part of the development of an important advertising campaign for a prestigious client's new product. You determine that, on your own, you cannot finish the project by the deadline. But, your boss has told you that no one else is available to help. You know, however, that if you could persuade your boss to allow someone to help you, you would be able to complete the marketing plan on time. Remember, the timely completion of the marketing plan will significantly accelerate your personal career in advertising.

What would you SAY to get your boss to agree to let someone help you complete the marketing plan on time?

Scenario 1, Version 2, Order 2

(subordinate - supervisor, benefits other)

Imagine your firm has assigned you to complete the writing and layout of a marketing plan by a given deadline. This plan is part of the development of an important advertising campaign for a prestigious client's new product. You determine that, on your own, you cannot finish the project by the deadline. But, your boss has told you that no one else is available to help. You know, however, that if you could persuade your boss to allow someone to help you, you would be able to complete the marketing plan on time. Remember, the timely completion of the marketing plan will significantly advance your firm's status by bringing on board a prestigious client, and increase your client's future earnings as a result of successfully promoting their new product.

What would you SAY to get your boss to agree to let someone help you complete the marketing plan on time?

Scenario 1, Version 3, Order 2

(peer - peer, benefits self)

Imagine your firm has assigned you to complete the writing and layout of a marketing plan by a given deadline. This plan is part of the development of an important advertising campaign for a prestigious client's new product. You determine that, on your own, you cannot finish the project by the deadline. But, your boss has told you that no one else is available to help. You know, however, that if you could persuade your colleague to help you, you would be able to complete the marketing plan on time. Remember, the timely completion of the marketing plan will significantly accelerate your personal career in advertising.

What would you SAY to get your colleague to agree to help you complete the marketing plan on time?

Scenario 1, Version 4, Order 2

(peer - peer, benefits other)

Imagine your firm has assigned you to complete the writing and layout of a marketing plan by a given deadline. This plan is part of the development of an important advertising campaign for a prestigious client's new product. You determine that, on your own, you cannot finish the project by the deadline. But, your boss has told you that no one else is available to help. You know, however, that if you could persuade your colleague to help you, you would be able to complete the marketing plan on time. Remember, the timely completion of the marketing plan will significantly advance your firm's status by bringing on board a prestigious client, and increase your client's future earnings as a result of successfully promoting their new product.

What would you SAY to get your colleague to agree to help you complete the marketing plan on time?

Scenario 2, Version 1, Order 2

(subordinate - supervisor, benefits self)

Imagine you work for a large corporation in its advertising division. You have worked in your present position as a Senior Account Executive for about 5 years. While you love what you do, your commute is about 1 hour each way to the company's present location. Recently, an opening for a Senior Account Executive has come up at a new branch office within 15 minutes of your house. At the branch office, you would handle the same number of important accounts, with the same responsibilities as you now have. A move to the new office would clearly benefit you because it would ease your personal schedule, decrease your expenses, and give you more time to see your own clients and get things done.

What would you SAY to get your boss to relocate you to the branch office?

Scenario 2, Version 2, Order 2

(subordinate - supervisor, benefits other)

Imagine you work for a large corporation in its advertising division. You have worked in your present position as a Senior Account Executive for about 5 years. While you love what you do, your commute is about 1 hour each way to the company's present location. Recently, an opening for a Senior Account Executive has come up at a new branch office within 15 minutes of your house. At the branch office, you would handle the same number of important accounts, with the same responsibilities as you now have. You know this move would ease your personal schedule, but it would also significantly increase time available to service your company's clients, provide the new office with a "head start" by having an experienced person to train the new employees, and expand the client base of the new branch.

What would you SAY to get your boss to relocate you to the branch office?

Scenario 2, Version 3, Order 2

(peer - peer, benefits self)

Imagine you work for a large corporation in its advertising division. You have worked in your present position as a Senior Account Executive for about 5 years. Recently, an opening for a Senior Account Executive has come up at a new branch office. However, you are needed at the present location due to the high workload. Currently, there is a hiring freeze, and it is very unlikely that you could be replaced. But, you know that this move would significantly accelerate your career by giving you an opportunity at a higher level position.

What would you SAY to get your colleague to enlist their support in persuading the boss to relocate you to the branch office?

Scenario 2, Version 4, Order 2

(peer - peer, benefits other)

Imagine you work for a large corporation in its advertising division. You have worked in your present position as a Senior Account Executive for about 5 years. Recently, an opening for a Senior Account Executive has come up at a new branch office. However, you are needed at the present location due to the high workload. Currently, there is a hiring freeze, and it is very unlikely that you could be replaced. While you know this move would benefit your career, it would also create an opening for an Account Coordinator to be selected from within your company to replace you, and the experience you bring to the new position will significantly enhance results for the company in it's new branch office.

What would you SAY to get your colleague to enlist their support in persuading the boss to relocate you to the branch office?

Appendix B

LIKERT SCALE QUESTIONNAIRE

Now, use your imagination. Suppose that in the middle of your first attempt at persuading the other person in the preceding work situation, you realize your approach is failing. And you know that if you don't persuade the other person this time, you won't get what you are asking for. So, it is apparent to you that another approach or attempt is needed. Remember, it is really important you get the result you want from this second attempt.

On the following pages, various statements you might use to get someone to do something are presented. For each statement listed, indicate how likely you would be to use those words in your second attempt to persuade the other person.

As before, there are no right or wrong answers. Your responses will be kept totally anonymous and confidential.

(Below is an example pertaining to Scenario 1, Version 1, Order 2; subordinate - supervisor, benefits self. The other 7 variations were modified in accordance with the specific Scenario and Version):

Indicate below how likely you would be to use each of the following persuasive statements in your second attempt to get the needed help from your boss.

1. If you let someone help me with this marketing plan, I won't ask for any other special considerations in the future.
_____ Very likely to use
_____ Likely to use
_____ Neither likely nor unlikely to use
_____ Unlikely to use
_____ Very unlikely to use

2. I may lose the client if you don't assign enough help to get the job done by the deadline.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use
3. If you let someone help me, my successful and timely completion of the marketing plan will ensure future business from this client.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use
4. If you don't assign someone to help me, the quality of the marketing plan will suffer and I won't be able to complete it on time.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use
5. I would act pleasant and friendly so my boss would allow someone to help me.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use
6. If you'll let someone help me this week on the marketing plan, I'll help you on other important projects next week.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use

7. Unless you let someone help me get the marketing plan done on time, it's unlikely I'll get future work from this client.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use
8. You should allow someone to help me make this deadline because I got you out of a jam on your last project.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use
9. The client deserves the best, so not assigning anyone to help me meet the deadline would be unfair.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use
10. You'll feel proud if I meet the deadline because it will reflect positively on you and your leadership.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use
11. You'll know that the marketing plan could be better prepared if you let someone help me.
- Very likely to use
 - Likely to use
 - Neither likely nor unlikely to use
 - Unlikely to use
 - Very unlikely to use

12. A responsible, cooperative leader would assign someone to help with the marketing plan.
 Very likely to use
 Likely to use
 Neither likely nor unlikely to use
 Unlikely to use
 Very unlikely to use
13. Only an irresponsible or inexperienced leader would not assign someone to help with the marketing plan.
 Very likely to use
 Likely to use
 Neither likely nor unlikely to use
 Unlikely to use
 Very unlikely to use
14. We've worked together for years, and trust each other. You should trust me to know that I need help to finish this marketing plan.
 Very likely to use
 Likely to use
 Neither likely nor unlikely to use
 Unlikely to use
 Very unlikely to use
15. Others in the firm will look up to you as an aggressive "can-do" leader if you assign someone to help complete the marketing plan.
 Very likely to use
 Likely to use
 Neither likely nor unlikely to use
 Unlikely to use
 Very unlikely to use
16. The firm will be disappointed in you if we don't meet the client's expectations for quality and timeliness.
 Very likely to use
 Likely to use
 Neither likely nor unlikely to use
 Unlikely to use
 Very unlikely to use

Appendix C
DEMOGRAPHIC QUESTIONS AND QUESTIONNAIRE
INTRODUCTION

Please circle:

Sex:	MALE	FEMALE
Have you been employed?	YES	NO
If YES:	Part-time	Full-time
Have you held a supervisory position?	YES	NO
Was your job performance evaluated by a supervisor?	YES	NO

We are interested in what people would say to one another in various kinds of work situations. The following situation involves one person trying to persuade someone at work. It is similar to one you might face in everyday life.

In this situation, you are the individual who is trying to persuade the other person. So, really try to put yourself in the situation. Various statements you might use to get someone to do something are presented right after the situation. For each statement listed, indicate how likely you would be to use those words to persuade the other person involved.

Of course, there are no right or wrong answers. We are just interested in finding out about what people would say when trying to persuade someone at work. Your response will be kept totally anonymous and confidential.

THANKS FOR YOUR COOPERATION!

Appendix D

INFORMED CONSENT FORM

The purpose of this study is to learn what people are most likely to say when persuading another person in a work situation. You will be requested to read a workplace situation, and (1) indicate how likely you would be to use various messages or statements commonly used to persuade someone, and (2) assume your first attempt failed, then indicate what you would *actually say* in a second attempt to persuade the other person.

I will answer any questions you may have concerning this study. The results of this study will contribute to our scientific knowledge, but will probably have no direct risks or benefits to you as a participant. Participation is voluntary and failure to participate will not affect your grade or class status. The tasks should take about 15 minutes to complete.

All responses will be confidential. While I must ask you to sign this sheet below, do not enter your name or social security number on any of the following pages. In all probability, your responses will be used in publications and research reports presenting statistical data. You are free to discontinue participation at any time prior to the completion of the study.

Julie Blaine Mitchell
Investigator

I have read the above and give my consent to participate in this study.

Name

Date

Appendix E

PRE-TEST FOR SCENARIO BELIEVABILITY

Communication Study

We are interested in determining the extent to which the following situations are perceived as realistic (i.e., if they could happen, are they believable and relevant to real-life work situations).

Please read the situations, and on the scales provided, rate *how realistic and believable you perceive each situation to be*. Place a check mark in the appropriate space.

THANKS FOR YOUR COOPERATION!

Situation 1

Imagine your firm has assigned you to complete the writing and layout of a marketing plan by a given deadline. This plan is part of the development of an important advertising campaign for a prestigious client's new product. You determine that, on your own, you cannot finish the project by the given deadline. But, your boss has told you that no one else is available to help. You know, however, that if you could persuade your boss to allow someone to help you, you would be able to complete the marketing plan on time. Remember, the timely completion of the marketing plan will significantly accelerate your personal career in advertising.

In general, I think this situation is:

Very Unrealistic (1)	Somewhat Unrealistic (2)	Somewhat Unrealistic (3)	Neutral (4)	Somewhat Realistic (5)	Somewhat Realistic (6)
_____	_____	_____	_____	_____	_____
Very Realistic (7)					

And, I think the situation is:

Very Unbelievable (1)	Somewhat Unbelievable (2)	Somewhat Unbelievable (3)	Neutral (4)	Somewhat Believable (5)	Somewhat Believable (6)
_____	_____	_____	_____	_____	_____
Very Believable (7)					

Situation 2

Imagine you work in the advertising department of a large corporation. You've just found out the National Advertising Association (NAA) is holding an important seminar about current trends in corporate advertising. The NAA is very prestigious and its seminars typically offer vital, up-to-date information. Recently, however, your corporation has experienced a significant cut in its travel/training budget. Very few requests for funding have been granted. You believe that what you learn at the seminar will significantly accelerate your career, bring prestige to you and your company, and provide practical information that you can use to benefit your own clients. You need to figure out a way to persuade your boss to let you have some funds to attend the seminar.

In general, I think this situation is:

Very Unrealistic (1)	Somewhat Unrealistic (2)	Somewhat Unrealistic (3)	Neutral (4)	Somewhat Realistic (5)	Somewhat Realistic (6)
_____	_____	_____	_____	_____	_____
Very Realistic (7)					

And, I think the situation is:

Very Unbelievable (1)	Somewhat Unbelievable (2)	Somewhat Unbelievable (3)	Neutral (4)	Somewhat Believable (5)	Somewhat Believable (6)
_____	_____	_____	_____	_____	_____
Very Believable (7)					

Situation 3

Imagine that you have an elderly father who is recovering from a serious illness. While he is on the way to full recovery, he is still in the early stages of physical rehabilitation. Due to financial circumstances, home nursing care or a private nursing home is not an option. Thus, he depends upon you and your sister to provide the necessary assistance he needs. The two of you decide to ask your respective employers for flextime, so that you can be with your father in the morning, and your sister can be with him in the afternoon. Your job is demanding and you are very busy. Your employer has not adopted flextime or in-house day care. You need to persuade your boss to allow you to have a more flexible schedule so that you can help care for your father.

In general, I think this situation is:

Very Unrealistic (1)	Somewhat Unrealistic (2)	Somewhat Unrealistic (3)	Neutral (4)	Somewhat Realistic (5)	Somewhat Realistic (6)
_____	_____	_____	_____	_____	_____
Very Realistic (7)					

And, I think the situation is:

Very Unbelievable (1)	Somewhat Unbelievable (2)	Somewhat Unbelievable (3)	Neutral (4)	Somewhat Believable (5)	Somewhat Believable (6)
_____	_____	_____	_____	_____	_____
Very Believable (7)					

Situation 4

Imagine your firm has assigned you to complete a data analysis of market research by a given deadline. This data analysis is the basis for development of an important advertising campaign for a prestigious client's new product. You determine that it is extremely unlikely that you can finish the project by the deadline without use of new, state-of-the-art computer software. Your boss has said that there are no funds in the budget for new equipment. You know, however, that if you could persuade your boss to purchase this computer, you would be able to complete the data analysis on time. Remember, the timely completion of the advertising campaign will significantly accelerate your personal career by making you more productive, and faster at getting accurate results.

In general, I think this situation is:

Very Unrealistic (1)	Somewhat Unrealistic (2)	Somewhat Unrealistic (3)	Neutral (4)	Somewhat Realistic (5)	Somewhat Realistic (6)
_____	_____	_____	_____	_____	_____
Very Realistic (7)					

And, I think the situation is:

Very Unbelievable (1)	Somewhat Unbelievable (2)	Somewhat Unbelievable (3)	Neutral (4)	Somewhat Believable (5)	Somewhat Believable (6)
_____	_____	_____	_____	_____	_____
Very Believable (7)					

Situation 5

Imagine you work for a large corporation in its advertising division. You have worked in your present position as a Senior Account Executive for about 5 years. While you love what you do, your commute is about 1 hour each way to the company's present location. Recently, an opening for a Senior AE has come up at a new branch office within 15 minutes of your house. At the branch office, you would handle the same number of important accounts, with the same responsibilities as you now have. A move to the new office would clearly benefit you because it would ease your personal schedule, decrease your expenses, and give you more time to see your own clients and get things done.

In general, I think this situation is:

Very Unrealistic (1)	Somewhat Unrealistic (2)	Somewhat Unrealistic (3)	Neutral (4)	Somewhat Realistic (5)	Somewhat Realistic (6)
_____	_____	_____	_____	_____	_____
Very Realistic (7)					

And, I think the situation is:

Very Unbelievable (1)	Somewhat Unbelievable (2)	Somewhat Unbelievable (3)	Neutral (4)	Somewhat Believable (5)	Somewhat Believable (6)
_____	_____	_____	_____	_____	_____
Very Believable (7)					
