

REALITY THERAPY AS A MANAGEMENT STRATEGY
FOR DEALING WITH THE PROBLEM EMPLOYEE

by

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(ABSTRACT)

Traditional management and public administration literature have failed to recognize the existence of the problem employee in the work force. The purpose of this study has been to remedy this failure, and, then, to determine if Reality Therapy is an effective strategy for dealing with the problem employee.

To this end, an Interactive-Holistic theory which brings together the conceptual streams of psychology and administration has been developed in the form of fifteen propositions. Then an evaluation of Reality Therapy and other methods of dealing with the problem employee has been conducted. Theory development and evaluation of strategies for dealing with the problem employee were a response to the challenge of Chester Barnard that an administrator perform the "function of the executive" by keeping both the needs and goals of the organization in balance with those of the employee.

To explore heuristically the probability that theory propositions are true and to determine the likelihood that Reality Therapy will be an effective strategy for dealing with a problem employee, The Computer Consultant was utilized.

For the manager, the desired situation in the workplace is that employee behavior contributes effectively to the accomplishment of organizational goals. In determining the probability of this occurring, likely affect of Reality Therapy as a management technique, and the likelihood of other methods being effective, over one hundred conditions were identified as relevant to, and possible detractors from, the accomplishment of organizational objectives. From this input into TCC, the following results were calculated.

When all possible conditions are taken into consideration, the likelihood of an employee becoming a problem was calculated to be .62. If a manager has been using Reality Therapy as a management technique, this likelihood is reduced to .40. If an employee becomes a problem and a manager does nothing, the likelihood of the problem being eliminated and the employee contributing to organizational effectiveness is only .01. If an Employee Assistance Program is utilized, the likelihood of the employee's behavior contributing to the accomplishment of

organizational goals was calculated to be .48. If Reality Therapy is utilized, this likelihood rises to .71. The use of both the EAP and Reality Therapy increases the likelihood of the employee's behavior changing positively to .84. Thus, it was concluded that Reality Therapy is a viable strategy for managing a problem employee.

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If you can keep your head when
all about you
Are losing theirs, and blaming
it on you,
If you can trust yourself when
all men doubt you
And make allowance for their
doubting too....

Rudyard Kipling

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Chapter I

INTRODUCTION

This chapter presents the purpose of the dissertation and defines "problem employee." It discusses philosophical issues and articulates the paradigm from which the person-at-work has been studied and from which the theory of that person will be developed. The chapter then explains the importance of the research and concludes with an overview of the dissertation.

PURPOSE

The purpose of this research has been to develop, from a manager's perspective, a theory of the person-at-work, which recognizes the problem employee; and to determine if management intervention, in the form of Reality Therapy, as a means of preventing and/or alleviating the problems associated with their presence in the work force, is possible and practical. It is currently estimated that, at any one time, from 10 per cent to 20 per cent of the work force can be categorized as problem employees (Hall and Fletcher, 1984 and Schneider, 1979). The costs to employers in lost time, reduced productivity, and spillover effects on other employees is now thought to be over 195 billion

dollars per year (EAP, 1983). Yet , for the most part, a manager, when faced with a problem employee, is hard-pressed to know how to act; and a theory of the person-at-work which includes the problem employee has not yet been developed.

Almost anyone who has worked in a complex organization can attest to the existence of the problem employee. Yet, what may seem like common sense to the typical practitioner has somehow not found its way into either the academic literature of public administration or management. Although it is generally accepted that on any street, in Anytown, USA, lives a diverse, not always equally successful, equally healthy, equally productive group of people with equal standards, and equal goals; this obvious phenomenon seems to have escaped the attention of academics. Rather, the implicit assumption prevailing in administrative literature suggests that some mystical transformation takes place when recognizably different people enter employment, so that they all become equally desirous and capable of maximum competent production. When they are not, it is somehow assumed that the manager, or the organization or a lack of training is at fault. The prescriptions then offered take the form of organizational or job redesign, the application of motivation or leadership theory, or some form of planned change. The organization is thought to have an "Human

Relations Problem"; and a consultant is frequently brought in to apply an eclectic bag of tricks equally to all members of the work unit.

This is not to say that the literature of public administration and management does not recognize that the work place is composed of people with different personalities, backgrounds, experiences, values, and styles. Rather, it is to point out that not all employees in the work place will, or want to, apply themselves toward accomplishing the goals of the organization, or to ranking these goals first among their personal priorities. These workers, then, are the problem employees and incorporating their existence into a theory of person-at-work is a crucial purpose of this dissertation.

The second purpose of this research will be to demonstrate that management intervention in the form of Reality Therapy (or Reality Performance Management) (Karrass and Glasser, 1980), as a means of dealing with the problem employee, can be an effective prevention and intervention. Although the intervention technique now in good currency is the Employee Assistance Program (EAP), which is a formalized referral system for professional assistance outside the organization, the EAP appears inadequate. An employee who is referred to an EAP may spend a few hours a week receiving

professional counseling, but the manager must know how to deal with that same employee during the hours of work.

Yet, the manager is neither a psychoanalyst, nor a medical doctor. Rather, a manager is concerned with, and responsible for, daily operations of a specific work unit, and the hours of work need to be spent in activities directed toward accomplishing organizational goals. This leaves little time for a manager to deal with the problem employee--yet deal he must. Reality Therapy can provide a means for lessening the likelihood that a problem employee will emerge and for dealing with problem employees who do surface. Reality Therapy is neither manipulative nor difficult. Rather, Reality Therapy eliminates the need for understanding or trying to analyze the employee's problems (relegates the employee's troubles and excuses to a back burner) and, instead, allows the manager to focus on facilitating the employee's contribution to organizational goals. Reality Therapy is discussed in detail in Chapter 4, as are the situations and people with whom it is likely or unlikely to be successful.

PROBLEM EMPLOYEE DEFINED

In discussing the problem employee, it is necessary to operate from an identified frame of reference by carefully defining the concept of problem employee as it has been used in this research. A review of the sparse (and often anecdotal) literature reveals that the terms "problem employee" and "troubled employee" are often used synonymously. However, in this research, the term "problem employee" has been applied to describe an employee whose behavior in the work place causes reduced productivity and lowered morale for self, co-workers, or supervisor. An employee can be troubled by personal problems as minor as a stubbed toe, or as major as the death of a spouse; but unless those troubles spill-over into the work place as behaviors which lessen effectiveness and detract from the achievement of organizational goals, that employee is not a "problem employee." Conversely, an employee whose behavior at work consistently detracts from organizational effectiveness, but has no known troubles, is also viewed as a "problem employee."

Problem employees are viewed as those whose behavior is directed toward the accomplishment of personal goals at the expense of organizational goals.¹ Those who use

¹ To use the term "organizational goal" is not an attempt to reify the organization nor deify the manager. It is

unconventional, or even illegal means, to insure accomplishment of organizational goals are not viewed as problems within the context of this definition.

A focus on observed behavior is crucial to both the development of theory and the identification of possible management interventions. So long as employee behaviors contribute positively to production (whether of service, or products), neither the manager, nor the employee has a problem, as here-in defined. Troubles are considered relevant only if they affect job performance.

recognized that organizations do not have goals--people do. The term "organizational goal" is used for simplicity's sake to refer to that purpose for which the collectivity called an organization has been established and for which the dominant faction of the organizational cadre, and thus the bulk of rank and file members, (Hamsley and Zald, 1976) have agreed to work toward as a part of the "contractural condition" of their organizational membership.

This definition of organizational goal literally "walls out" a situation such as the one which occurred at EPA when Ann Burford as the manager was working toward a purpose not congruent with that of the dominant faction of the organizational cadre. The Burford incident is not one which involved problem employees by this definition. Rather it was a situation in which the manager was trying to define the goals in a way that antagonized key elements of Congress, the dominant faction of the cadre, interest groups and most troublesome of all was the use of illegal means. In a situation such as this, when employees were acting to preserve the intent of the organization, they would not be viewed as problem employees by this

PHILOSOPHICAL ISSUES

Dealing with problem employees requires resolution of some difficult philosophical issues. To resolve them the manager must consider the purpose of the organization's role in society. If its purpose is purely "contractual-instrumental" and employees are viewed only as means to ends, then the manager need assume no responsibility for dealing with the problem employee. An organization operating only as an efficient producer of goods or services will have no use for problem employees and no responsibility for keeping them or managing them. Rather the problem employee can be eliminated through discharge or transfer. However, managers trained in the human relations approach may have difficulty in making termination decisions and recent legislation and court rulings may inhibit such decisions being made.

There are many reasons why the manager must learn to deal with the problem employee. While the manager's inclination might be to simply dismiss the problem employee, recent legislation and court decisions, as well as unionization, severely limit the manager's ability to discharge, or even discipline, in both the public and private sectors. For example, an employee's discharge can

definition.

be found by the courts to be invalid for any one of the following reasons:

1. The employee was discharged for reasons specifically prohibited by federal and state statutes.
2. The employee was discharged for complying with a statutory duty.
3. The employee has been deprived of due process.
4. The discharged employee had an implied contract right under the terms of employment.
5. The court determines that the discharge was motivated by bad faith, malice, or retaliation, or is contrary to public policy.

Not only do arbitrators overturn employer discharge decisions more than 50 per cent of the time (Youngblood and Tidwell, 1981), but the laws have become so skewed in favor of the employee that the supervisor's right to terminate is literally being eroded away. The case of *Monge v. Beebe Rubber Co.*, 316A 2d 549 (1974) is an example of this erosion. In this litigation, the court ruled in favor of the employee because the decision to discharge him "is not in the best interest of the economic system or the public good."

To say that the supervisor's right to terminate is being eroded away is not to deny that a supervisor does have

power over an employee. Certainly, a supervisor can give a bad evaluation, cut back on travel, or make undesirable assignments. The point here, however, is that employees in the 1980's also have power. A supervisor needs to recognize this.

Due to the California Cumulative Trauma Act of 1977, the employer might even be held responsible for treatment of such disorders as headaches, hypertension, cardiac irregularities, weight change, depression, ulcers, etc. (Welds, 1979).

Thus the societal climate has forced a philosophical pendulum swing. The manager, no longer free to operate the organization in the traditional "contractual-instrumental" manner, may begin to consider the organization to be eleemosynary with a therapeutic responsibility to its employees. The manager of such an organization may become so involved in helping employees, attempting to resolve problems, and enriching the work environment that the organization's responsibility for production becomes obfuscated.

Given these two extremes, the manager must come to terms with his own philosophy regarding the reciprocal responsibility of the employee with the organization. He may well come to the conclusion, as I have, that the wisdom

of Aristotle applies here, in that the answer lies somewhere in the middle.

By viewing the employee-organization relationship as an "interactive-holistic" one, it is possible to see both employee and organization as components of and actors in, the larger societal system from which they receive rights, and to which they owe responsibility. The dilemma of choosing how much responsibility for achieving the organization's goals should be expected from the employee and how much responsibility the organization has for the employee can then be resolved from a utilitarian perspective.

Utilitarianism is a guide for personal and organizational behavior decisions. It requires that, in making moral decisions, that option be chosen which maximizes the pleasure and minimizes the pain of all others. Thus, by approaching management from a utilitarian philosophy, those decisions will be made which are of the greatest benefit to the organization, and ultimately to society. Operationalizing this philosophy, once chosen, is still not easy. However, once a guide has been established, action can be purposive.

With a utilitarian philosophy, the manager can keep the role of the organization in society in perspective and

determine that the accomplishment of goals to maximize organizational effectiveness must be given priority. How those goals are accomplished will be determined by the organizational technology, of which the employees are a part. The management of employees will be guided by the tenet of maximizing the greatest good for the greatest number. Thus, when a problem employee emerges, the manager can decide what to do with, and for, this employee by considering, not only the employee, but co-workers, other organizational units, and the organization's environment.

This approach provides a fine line of distinction which the manager alone can discern, and requires a type of cost/benefit calculus which the manager alone can perform. He must weigh the costs of working with, helping, and trying to change the problem behavior against the costs to other employee morale, and, at least temporarily, lowered production. He must weigh the benefits of keeping an employee who already knows the job against the costs of finding and training a new employee. He must weigh the costs to his own psyche of dealing with the problem employee against the benefits to his psyche of believing that he has ultimately helped. To be forced into such a calculus is very uncomfortable for a manager.

Even with the conscious choice of a utilitarian philosophy as a guide, the manager will be influenced by his own value system. For instance, he may find it more difficult to be objective about a minority, or a sole family bread-winner, or a person he genuinely likes (or dislikes). He may have difficulty recognizing that the problem may be within himself and not with the employee. Quite literally, the manager may blame the victim, or be the victim. Only a conscientious self-examination can provide the manager with insight into his own values, and then free him to define and confront the problem employee.

To assist in value clarification and to provide a focus for this dissertation, the next section discusses paradigm perspectives and articulates the paradigmatic bias for this dissertation.

IMPORTANCE OF THE RESEARCH

Managers in both the public and private sectors have need of a means of dealing with the problem employee. When one hears stories such as the one about the employee in a public organization who was like an old gun - wouldn't work and you couldn't fire him - so he was assigned to sit on a stool in the hall all day (Stillwagon, 1984), the need for an innovative management technique becomes evident. While such

action as the above sounds extreme, the story is said to be true, and it is a graphic example of a manager who simply had no skills for dealing with a problem employee and so resorted to desperate measures.

There are simply a plethora of problems in the work place that are not amenable to solution by traditional management practices, and which are not acknowledged in the current theory of person-at-work. Although the naive notion of POSDCORB² is now recognized as necessary, though not sufficient, for effective management, the human relations movement has not solved management's problems either. One has only to look at the five thousand Employee Assistance Programs in the United States (Schweiker, 1981) to realize that something is lacking in administrative and management theory and practice.

Zenger (1980) has charged that managers "know much about management, but little about how to manage." It seems more correct to argue that management theory is lacking in the area of recognizing the reality of employees whose behavior is creating problems in the work place, and in developing management strategies for dealing with these problems. This is not to dispute that both public and

² POSDCORB is a term coined by Luther Gulick in the 1930's to stand for the functions of management which he believed are: planning, organizing, staffing, directing, coordinating, reporting, and budgeting.

private organizations have a crying need for better managers. It is, however, to argue that a basic task of management is to get employees to contribute to the accomplishment of organizational goals, and to dispute the conventional assumption that all employees are ready to contribute once a contract for their services has been entered into.

Traditional management literature pre-supposes a willingness on the part of employees to contribute to the accomplishment of organizational goals. When they don't, the manager is frequently accused of "bad" management, or viewed as incompetent. Yet, the fact remains that some employees do not contribute, or contribute minimally despite what is done by traditional management. That this failure on the part of all employees to contribute to organizational goal accomplishment is a real problem for managers was identified as early as 1938 by Chester Barnard whose now classic treatise, called the Functions of the Executive, emphasized that an organization can operate efficiently and survive, only when both the organization's goals and the aims and needs of employees are kept in balance. In the almost half a century since Barnard, theorists have yet to provide a means by which management can successfully accomplish this "function" with employee's whose personal goals are paramount for them.

To provide a means of recognizing and managing these employees is an important contribution. For, no matter what explanation for employee behavior might be offered, an inescapable fact remains: People do not come together in that social collectivity called an organization simply to receive benefits without expecting some cost to be associated with those benefits. They come because the organization is the means by which the collective purpose is expected to be achieved. From contributing to that purpose they expect to receive a livelihood as well as other desirable benefits such as status, power, and the achievement of ideals. In exchange for these benefits, people contract with the organization to provide their services. A contract with an organization, however, does not always assure that the person who contracts will automatically fulfill their part of the contract by exhibiting behavior that contributes to organizational goal accomplishment.

A theoretical reconception of the person-at-work is clearly called for. The traditional "contractual-instrumental" approach is misleading. The increasing numbers of workers who can be categorized as problem employees simply do not fit the existent theories. Thus the over-all research problem focuses on a major organizational

issue: the development of a theory of person-at-work which acknowledges the existence of problem employees.

DISSERTATION OVERVIEW

This chapter has presented the concept that a theory of person-at-work, which extends the traditional contractual-instrumental concept of the employee is needed. An "interactive-holistic" model which allows for the existence of problem employees and a management intervention technique for dealing with problem employees have been introduced. The next chapter presents a review of the existent literature and, in so doing, demonstrates that there are lacunae in both public administrative and management theory because of their failure to acknowledge the existence of a problem employee in the world of work. Chapter 3 presents the "interactive-holistic" theory of person-at-work developed in this dissertation, which addresses the reality of the problem employee as a member of the work force. Chapter 4 explores and critiques current ways of dealing with the problem employee, and discusses the use of Reality Therapy as an effective management intervention. Chapter 5 presents the methodology which has been used to test the "interactive-holistic" theory of person-at-work and to determine the degree to which prevention and intervention

strategies can be expected to be effective. Chapter 6 synthesizes the results of the research and discusses implications for managers.

Chapter II

REVIEW OF THE LITERATURE

This chapter presents a review of the literature on problem employees and demonstrates that management literature, in general, has a gap where the problem employee is concerned. It includes a review of the findings of research conducted by the United States Merit Systems Protection Board regarding problem employees in the federal work force.

THE MANAGER'S PERSPECTIVE

During the past decade, there has been an increasing recognition of the importance of learning to deal with the problem employee. Many organizations consider this a part of their ethical responsibility (Hollman, 1979). Others want to deal with these employees because the problems they create can adversely affect job performance of others, and thereby detract from organizational effectiveness (Cairo, 1983). Still others recognize that problem employees present a serious concern for managers who must learn to deal with them (Flynn and Stratton, 1981). Whatever the reason, the issue to be considered is, that, in spite of the formal planning, paperwork, and emphasis on the proverbial

bottom line, management still ends up being a relationship of people. The chief executive has essentially the same employee difficulties as the supervisor, and must be able to deal with the problems openly (Waddell, 1981). For both executive and line supervisor must interact on a daily basis with other human beings upon whom they must rely for accomplishment of organizational objectives. The numbers of subordinates may differ, as may responsibilities and activities. The crucial point here, however, is that no matter what level of the organization is involved, relationships between individuals are a critical part of every day organizational life.

Traditionally, organizations did not even attempt to deal with the problem employee. Rather, the problem employee was laid off, transferred, or discharged. Gradually, an attempt at helping has emerged, and many organizations have moved to establish Employee Assistance Programs (EAP) which are usually coordinated by a personnel officer and typically utilize the services of mental health professionals away from the job site. However, Hollman (1983), who explains these different techniques of dealing with the problem employee, calls for a "progressive" approach, which will develop a means of managing the problem employee through prevention and rehabilitation. He believes

that existent EAP's are limited in at least three ways: 1) they are treatment oriented, 2) they are reactive, not proactive, and 3) they are fragmented, in that they deal with only one problem at a time. EAP's are expensive and time-consuming. They are often seen as a last resort and a stigma is usually attached to an employee referred to an EAP. The EAP can be mistaken for a panacea, and the manager forget that the employee is on the job more than he/she is participating in counseling. Yet, EAP's are the most frequent solution given for dealing with the problem employee.

Literature on problem employees is found more frequently in practitioner oriented journals than in academic ones. A typical article on managing the problem employee frequently cites numbers and costs, sympathizes with the manager who is trying to cope, provides a list of ways to recognize the problem employee, then a prescription of from three to ten steps meant to tell the manager what to do. These articles often end with a sales pitch for the establishment of an EAP. Their existence highlights the current "crisis of usefulness" in the organization sciences which has been engendered because "academicians do not address the practical needs of managers" (Strasser and Bateman, 1984).

However, an increasing number of problem employees, who often do not acknowledge their problems as long as they can conceal them from their manager and/or fellow employees have been identified (Gomez-Mejia and Balkin, 1980). The costs to employers in lost time, reduced productivity, and spill-over effects on other workers was estimated, in 1983, to be about 195 billion dollars a year (EAP, 1983). This figure does not include the costs of any rehabilitation program which may be instituted. Such costs were calculated to be an additional \$3,000 per employee in 1975 (Reardon, 1975). A problem employee can be expected to earn only 75 per cent of annual salary (Schneider, 1979) and problem behavior can foster escalating insurance costs, rising accident rates, and increasing litigation and grievance administration (Kandel, 1983/84). Thus, it behooves the manager to know how to recognize, prevent, and intervene with, the problem employee.

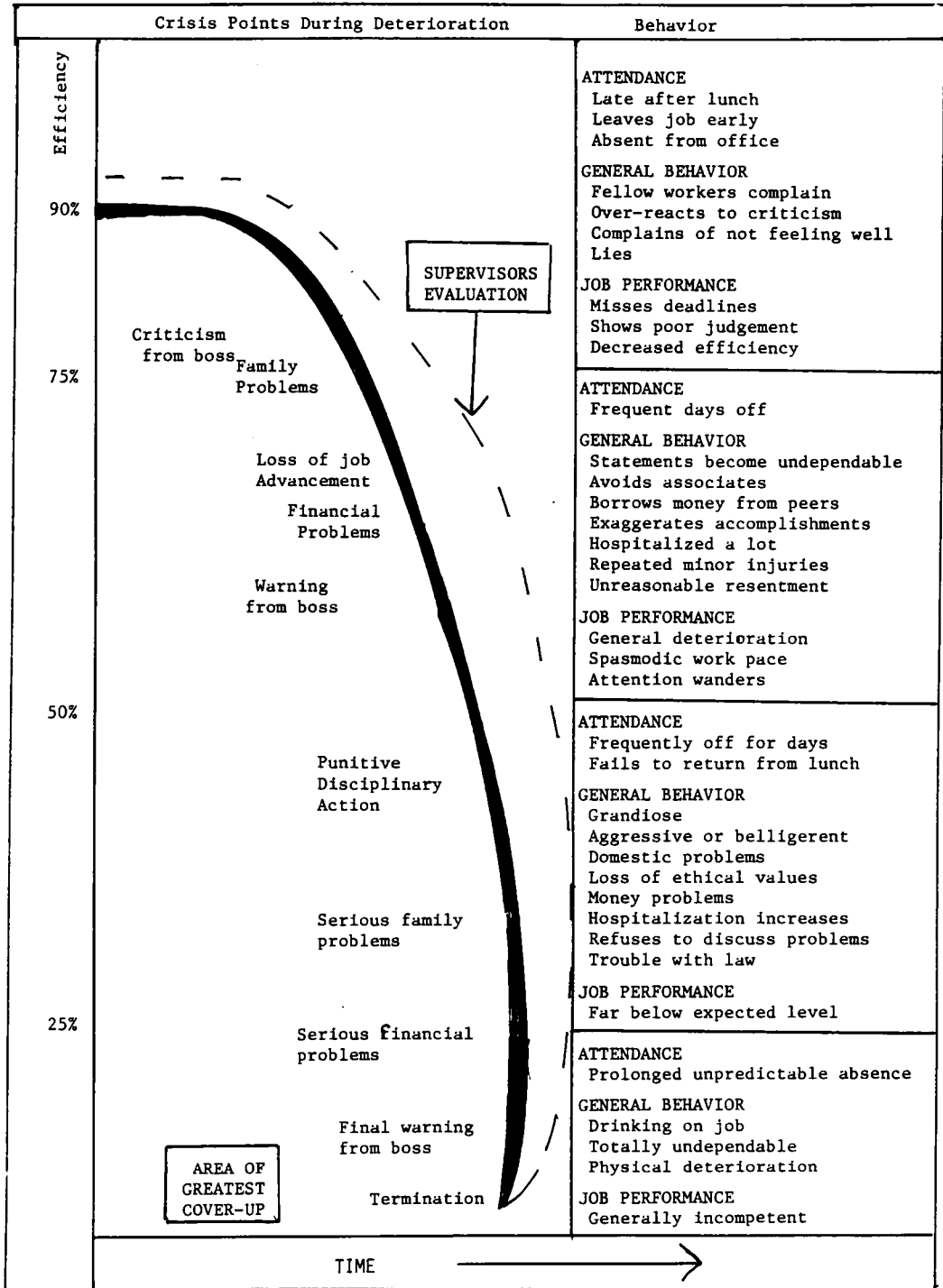
Clues which are indicators of a worker whose troubles are soon to create a problem in the work place have been identified by Pilypowicz (1979). These include:

1. Excessive, unexcused, and/or frequent absences.
2. Tardiness and early departures.
3. Altercations with fellow employees.
4. Causing other employees injuries through negligence.

5. Poor judgment and bad decisions.
6. Unusual on-the-job accidents.
7. Increased spoilage and breakage of equipment.
8. Involvements with the law.
9. Deteriorating personal appearance.

To this list, Hollman (1983) adds "mood shifts," while management consultants, such as the Livenqrin Foundation and Personnel and Industrial Resource Consultants, who specialize in assisting organizations to deal with their problem employees, graphically depict the behavior of a problem employee, as shown in Figure 1 (Acosta, 1984).

Delaney (1982) provides a more descriptive list of indicators of a problem employee which includes behavioral elements not often identified in typical articles or books purporting to describe the problem employee. Delaney may be more realistic than others because he is writing as a practitioner for practitioners, and is not trying to sell his services, nor those of an EAP. As a result his prognosis is less optimistic than most, but his description is more detailed and comprehensive. Delaney attributes all employee problems to a "dysfunctional attitude," which he defines as an attitude which disrupts or impairs the accomplishment or organizational objectives.



Adapted from Livengrin Foundation brochure

Figure 1: HOW A PROBLEM EMPLOYEE BEHAVES

Delaney writes from his experience as a private sector manager and, in so doing, neglects to acknowledge public sector situations in which goals are ambiguous or in contention such as the 1984 EPA scandal when Ann Burford was called to task because EPA employees recognized that her actions deviated from congressional intent with regard to environmental protection. From Delaney's perspective, a manager is accountable only to the next level of management. He expects that such accountability insures that the manager is the vehicle by which organizational goals are communicated and enforced. In a government agency, however, things are not so simple.

Both employees and managers in the public sector are affected by a volatile environment in which they are accountable, not only to their superiors but to the President, the Congress, to the courts, to interest groups and clientele, and to the polity in general. In such an environment, where organizational goals must reflect public sentiment, the management hierarchy is expected to act on behalf of the people and their representatives, rather than on some privately determined philosophy. Within this highly complex environment, however, public managers are delegated the task of insuring that those goals, as determined for an agency, are achieved. Thus Delaney's value for the public

manager exists only when that manager and the majority of agency employees are attempting to achieve the goals on which there is consensus within and without the organization. When these consensus goals are thwarted by one or a few employees who are performing at odds with agency purpose, Delaney is helpful. The behaviors which such an employee can exhibit have been identified by Delaney. They are listed below with illustrations taken from the research conducted for this dissertation.

Behavior 1

They require extra time, attention, and direction. When left on their own, these persons tend to go wrong over and over again, and they always can explain their problems if given a chance. Problems seem to them to be caused by others.

An example which perfectly illustrates Delaney's description is the recruiter who was required to enlist 100 new people every three months. At the end of ten weeks, he had recruited one person, although his co-workers had exceeded that same goal. During this ten week period, he had daily conferences with his supervisor, but rejected every suggestion made. He managed to alienate several other agency officials, failed to keep appointments, and refused to take phone calls. His explanation for his failure to recruit blamed his co-workers and supervisor. He stated he

had been "set up to fail" and used as "proof" of the "set-up" that a co-worker had said "Good luck." He also stated that people in his recruiting area had been told "bad" things about him and that his co-workers used racial slurs when talking with him.

Behavior 2

They arrive late to work and depart early. When questioned about this, they say what's important is not how long one is at work, but what one does while there. Also, many say they are professionals and don't operate by the clock. Yet, they rarely stay late to finish a job. They never seem to give a full day's work. Their interests are clearly elsewhere.

An example which illustrates this type behavior is the social worker who was also a preacher. His job, as social worker, required that he be out of the office visiting clients. He was paid mileage for his travel to their homes. Although his case load was similar to that of other workers, he was out of the office at least twice as much as they were. A routine check of mileage charges revealed that he had, on numerous occasions, charged over 300 miles for 50 mile trips. Reports came in that he and his family were seen shopping in government vehicles during office hours. A newspaper article reported him preaching at a revival when he was ostensibly visiting clients. When confronted with the above, his response was that he was a professional and

that so long as he did his job, he did not believe the time he took mattered. He saw the freedom of his social work job as God's means of assisting him to preach.

Behavior 3

They ignore legitimate authority or directions from their bosses because "they know the job better" than the boss or anyone else. They are not ever to be questioned and they resent it bitterly when they are.

While every manager recognizes that there are times when ignoring authority facilitates the accomplishment of organizational objectives, the behavior which Delaney defines as a problem is that in which the refusal to follow legitimate directions blatantly subverts the accomplishment of organizational objectives. An example of this occurred in a local agency which received funding from a federal grant. In order to obtain this funding, a monthly billing was prepared from data submitted by each employee. In order for the agency to continue receiving operating funds, the bill was due in Washington on the tenth of each month. Therefore reports from employees were due at the local level by the fifth. One worker decided that he had more important things to do than compile data and refused to submit reports. His supervisor explained the importance of and necessity for his reports. He refused to compile them. His

supervisor insisted. Finally, at 5 PM, five days after the reports were due, he stalked into his supervisor's office, and, shouting an obscenity, threw them in her face.

Behavior 4

They have difficulty in communicating with others. They prefer to be left alone. They neither ask help nor give it.

An example which illustrates this description is the employee who refused to talk with her co-workers and supervisor. She failed to keep appointments for conferences. If she was in a room and others entered she left abruptly. Her supervisor did not know what she was doing, yet frequently had to resolve or respond to complaints concerning this employee. Finally, her supervisor pursued her and said, "We have to talk." This employee then burst into tears, shouted "You don't care," and raced from the room, slamming the door.

Behavior 5

They exhibit strange or unusual behavior at work.

The definition of "strange" and "unusual" varies and some management theorists view all behavior as a rational response to alienation or oppression. The terms are used there, however, to denote behavior which most people would

consider bizarre, odd, grotesque, and/or eccentric enough to detract from organizational goal attainment. An example of this is the employee who, although he shared an office, kept the door locked and would not admit his office mate. Since she, too had a key, she entered the office anyway, but he would not speak. Thinking she had done something to offend him, she baked him cookies and brought them the next day. He accused her of trying to poison him. Still another example is the secretary who was a part of a typing pool. During the summer months, a large fan cooled the office. One day, she suddenly jumped from her desk, grabbed a pair of scissors, cut the fan cord, and ran screaming from the room.

Behavior 6

These people read and study all company rules and regulations and become "barracks or sea lawyers." Whenever anyone in the organization has any problem, this type usually can quote and interpret the policies and procedures, chapter and verse.

While one would hope, especially in the federal bureaucracy, that employees do know and follow policies and procedures, the problem employee will insist on a non-discretionary adherence to the letter and not the intent of the law. This problem can be exacerbated by the whistle-blowing legislation which protects the "barracks lawyer"

while undermining, or causing the dismissal of, the manager. An example of this occurred in a federal program where the manager sought to maximize funds for service delivery by padding travel vouchers and holding a car-wash from which proceeds were deposited in a local bank instead of the agency accounting office. A whistle-blower reported this to the manager's superior with the accusation that the money was used for personal gain. The manager was dismissed without investigation and her replacement is afraid to use discretion.

Behavior 7

They rarely smile or tell a joke. Life is far too serious and mixed up for such levity.

While one might argue that being able to smile is not a necessary requisite for productive behavior, any manager who has tried to deal with the employee for whom life is too serious for levity can attest to this employee's ability to detract from organizational effectiveness. An example which should serve to illustrate is the employee who took all remarks as personal affronts. On Halloween, one worker joked about spooks in the bathroom. He interpreted this as a racial slur. During staff meetings in this agency, employees took turns keeping notes. After two women had taken notes, it was his turn. Someone joked, "We are an

Equal Opportunity employer." He took this as a racial slur. Someone joked about his always coming to work early. He believed this meant his fellow employees didn't like him. His resignation included, as one reason, that he was constantly subjected to insults by his co-workers.

Behavior 8

They enjoy seeing others make mistakes, especially superiors. Instead of offering assistance, these people turn and walk away, or, worse, publicize the mistake to make sure everyone knows about it.

An example which illustrates this behavior is the employee who kept a diary in which he recorded every real, or imagined, mistake made by his supervisor and co-workers. Periodically, he summarized his notes in memo form and sent them to his supervisor's superior and to the Personnel Office. The supervisor would then be "called on the carpet" to respond to his allegations. This behavior caused both supervisor and co-workers to be self-conscious and, on occasion paranoid. Having to be so careful of every action destroyed spontaneity and in so doing lowered organizational effectiveness.

Behavior 9

They need and request all sorts of special consideration, such as advanced leave, early departure from work, pay advances, special assignments, special working hours, special working conditions and equipment.

An employee who requires all these special considerations detracts from organizational effectiveness because of frequent absences during which their work must be absorbed by others and because of the inordinate amount of time a supervisor must use to manage these special considerations. An example of this is the secretary who used her sick and annual leave as soon as it was accrued, always claiming an emergency such as a sick child, a broken refrigerator, an injured husband, or a broken-down car. She requested permission to work on Saturday so her pay would not be docked for lost days. When her supervisor stopped by the office she was addressing personal Christmas cards and her child was playing with the typewriter. This same secretary required a special chair for alledged back trouble. When her supervisor tried to talk to her about maintaining her responsibilities, she burst into tears, said "I don't have to listen to this," and left the office. Two days later, when she returned, she stated she had filed charges of discrimination against her previous supervisor, and just might file them again.

Behavior 10

This type has so many troubles outside of work with their spouse, children, relatives, and neighbors, that they find it difficult to do the job. They always are ready to tell their troubles to any listener.

An example which graphically illustrates this behavior is the secretary who commuted from a rural community to support her family while her husband ostensibly looked for work. Each day she had a new tale to tell about her husband's irresponsibility or cruelty. Within a six month period, she went to court twice over perceived threats by neighbors. She had her phone tapped in an effort to identify obscene phone callers. Each day was begun with a new iteration of her saga of troubles. When co-workers no longer listened, she called a succession of friends to retell her story. During all of this she completed a minimum of assigned work. When her supervisor refused to listen further to her troubles, she filed a complaint that her supervisor wouldn't speak to her.

After producing this list of ten problem behaviors, Delaney advises that, in his experience, a manager has less than a 10 per cent chance of ever making a productive employee out of a person who exhibits these problems, and confesses to a personal 100 per cent failure rate in dealing with them.

The next section presents the sparse literature from the employee's perspective.

THE EMPLOYEE'S PERSPECTIVE

A few writers allude to the worker's perspective. Cairo (1983) acknowledges that an employee's inappropriate behavior may be job related. Kerr (1975) points out that employees often have rational and sound motivational reasons for poor performance as organizations frequently fail to reward, and, thus, inadvertently punish productive behavior. That the "properties of formal organizations often inadvertently condition employee failure," is the essential hypothesis of Martinko and Gardner (1982). In explaining their "Tolerance Theory," Biddle and Hutton (1976) argue that if the manager, as the employee's representative of the organization abruptly changes the work structure, job definition, or breadth of discretion, the employee will react with problem behavior. Such management action threatens the employee's sense of self and thereby undermines dignity and identity. However, even the sparse literature which recognizes the employee's perspective, appears to be written for managers because it is in management literature on dealing with a problem employee.

ADVICE FOR THE MANAGER

Advice given to the manager as to tactics for dealing with the problem employee consistently includes: 1) accept that the employee has a problem which is not likely to disappear, 2) document failing job performance, 3) confront the employee, and 4) suggest that the employee seek the help of a counselor, or accept disciplinary action (e.g., Hoffer, 1983; Smith, 1981; Pressler, 1981; and Schaeffer, 1979). Flynn and Stratton (1981) divide these tactics into two strategies: prevention and control. Prevention strategies include job design, selection, training, the reward structure, supervision, and inter-personal relationships. Control strategies are divided into positive and negative behavior controls. Negative controls include reprimands, the cold shoulder, suspension without pay, demotions, and terminations. Positive controls include accurately assessing goals, letting the subordinate know what the goals are, determining the rewards desired by the subordinate, and making certain the subordinate knows the desired reward will be available if job performance is successful.

However, Karrass and Glasser (1980) believe that, in following such advice, most managers will handle problem employees in a way that "guarantees that they will grow worse." Employee behavior can be expected to worsen for

several reasons. Negative controls are often a response by the manager to his own frustration. As such, they can be perceived as retaliation, and elicit an even greater exhibition of problem behavior by the employee. Positive controls, while well intentioned, are imposed without the input of the employee. They, therefore, lack employee "ownership" and the employee is less likely to internalize the purposes of the supervisor. The employee may feel manipulated and resent the supervisor who, he may perceive as, withholding respect. Thus controls are likely to worsen, rather than alleviate the problem.

Certainly, managing problem employees is a challenge for a number of reasons. These have been identified by Hollman (1979) as:

1. Management practices are based upon the assumption that the employee is both mentally and physically fit to perform the job, therefore traditional management practices may not work with the problem employee.
2. In a recent survey of members of the American Society for Personnel Administration, 90 per cent of the respondents rate their current methods of dealing with problem employees as only "fair."
3. Managing problem employees requires resolution of some difficult philosophical and economic issues.

4. An organization cannot rely on its selection process to weed out problem employees.
5. The organization, itself, may be a contributing cause of the employee's behavior.

Other challenges to the manager presented by the problem employee include learning to deal with their disruptive behavior and the costs the organization incurs as a result of this disruptive behavior (Flynn and Stratton, 1981).

Managers are often hard-pressed to know how to deal with the problem employee. Frequently a "conspiracy of silence" ensues, in which the employee is shielded in the hope that the problems will somehow be resolved or dissolved. However, such a cover-up puts too much faith in the employee's ability and/or desire to straighten up. It gives the worker no inkling of management concern and ignores the fact that the manager is in a position to help the employee (Hollman, 1979).

In describing the stages a manager will go through in trying to deal with the problem employee, Hoffer (1983) equates "conspiracy of silence" to "praying-for-a-miracle." He lists the stages as:

1. "Praying-for-a-Miracle" stage during which the employee is ignored as long as possible.

2. "Reason-Will-Prevail" stage during which heart to heart talks are held - to no avail.
3. "Pleading" stage during which the manager randomly begs, cajoles, and threatens.
4. "Bleeding" stage during which the employee is disciplined, fired, or asked to resign.

At the end of this process, Hoffer concludes, the manager is probably angry at self and employee and feels like a personal failure. Therefore, he advises, it is better to intervene with a planned strategy. Conceiving of the strategy is the dilemma.

It should have become obvious that, while the literature does identify the existence of problem employees, there is little to guide a manager in helping them. Rather, the existent literature implies that "some one out there" can get at the problem and solve it. Typical advice advocates that the manager learn to recognize and intervene with a problem employee then suggests a referral to an EAP. A few pessimists advise the manager to not even try to deal with a problem employee but to institute disciplinary action, which may (and probably will) include termination. Only Karrass and Glasser (1980) are optimistic. They advise the use of Reality Therapy, adopted for management as Reality Performance Management (RPM), as both a proactive and reactive means of dealing with the problem employee.

Since one of the purposes of this dissertation is to determine the effectiveness of RPM as both a prevention and an intervention technique in dealing with the problem employee, a summary of the steps of RPM is presented below.

STEPS OF "REALITY PERFORMANCE MANAGEMENT"

1. Establish a good working relationship with the employee, especially the ones who are doing poorly. This step will be difficult because the manager's natural tendency is to reject problem employees. But the manager's acceptance will help the employee feel a sense of belonging, and, with that, gain the strength to focus on the problem and what can be done about it.
2. Get the facts on the table. Avoid talking about past mistakes, and do not accept excuses. Rather, look at the specific performance problem. Emphasize the facts of the employee's behavior which indicate there is a problem.
3. Have the employee evaluate his/her own performance and suggest ways performance can improve. Get agreement that something must be done.
4. Negotiate a "get-well" action plan. Make certain the plan is specific as to what is to be done, when, how,

and how much. Set up review points to check progress.

5. Get a responsible commitment to the plan from the employee. If the plan doesn't work, re-negotiate. Don't ask why it didn't work, just focus on what didn't work, and try to change that.
6. Don't accept excuses. Focus on performance. Emphasize getting performance accomplished. Respond to excuses by saying, "Don't tell me why it didn't happen. Tell me when it is going to happen."
7. Let natural consequences take over. Don't punish and don't put down. Within an organization, the natural consequences of poor performance include: no raise, no promotion, reduction in responsibility, no bonus, temporary loss of fringe benefits (such as freedom to run personal errands), documentation of infractions in personnel file, etc..
8. Don't give up on employees too easily. (Karrass and Glasser, 1980).

Although RPM is based on a counseling technique, its incorporation into management style should not create undue hardship on the manager. While some might view administration and counseling as poles apart, in reality, both manager and counselor are facilitators of human

behavior. The difference seems to be more in the setting in which facilitation occurs, than in the feasibility for an approach in common; although, it is possible that the person whose behavior is facilitated will view a manager differently than he does a counselor.

When a client comes in to see a counselor, a need for assistance has already been identified, and the counselor is viewed as a helper who will maintain confidentiality as therapy proceeds. This is not true for an administrator. The employee who is viewed as a problem may be the last to admit the problem exists. Generally, the more serious the problem, the longer it will take the employee to acknowledge it, or seek, or accept help. Because the manager is in a position to discipline the employee, management overtures of help may be viewed as threatening. This is why the use of RPM must become a part of management style, well entrenched as a preventive measure before problems occur. This may also be why, although managers frequently find themselves in the role of counselor (Golen and Sykora, 1983), a 1983 study of 500 Fortune 1000 companies showed that "external sources" seem to be used most often for counseling for serious problems (LaVan, Mathys, and Drehmer, 1983). This research confirmed a 1978 study conducted by the American Society of Personnel Administrators and the Bureau of Labor Affairs

which found that, in organizations, what is typically labeled counseling is little more than a brief consultation and then referral (Cairo, 1982).³

That managers are capable of learning counseling skills was demonstrated by Burnaska (1976), who reports on Interpersonal Skills Training provided at General Electric by a group of psychologists for line and mid-level managers. The training focused on teaching counseling alternatives as a means of handling common employee-supervisor interactions. Managers who participated in the training were judged after a period of four to five months to have improved their ability to deal with employees.

Typically, managers have neither the education, inclination, nor time to counsel problem employees; and there is little in the management literature to teach them. However, the counseling psychology literature is a virtually untouched resource for the manager. It can both provide an explanation for the problem employee's behavior and guide the manager in learning to deal with it, thus providing a means to facilitate the employee's ability to turn from

³ No comparable study exists for public organizations, but one suspects the situation in the public sector is similar because in both the public and private sectors, human interactions play a crucial role in goal attainment. The similarity of human interaction in both sectors was demonstrated by Lau and Pavett in a 1980 study of 210 public and 210 private managers.

deviance to productivity.

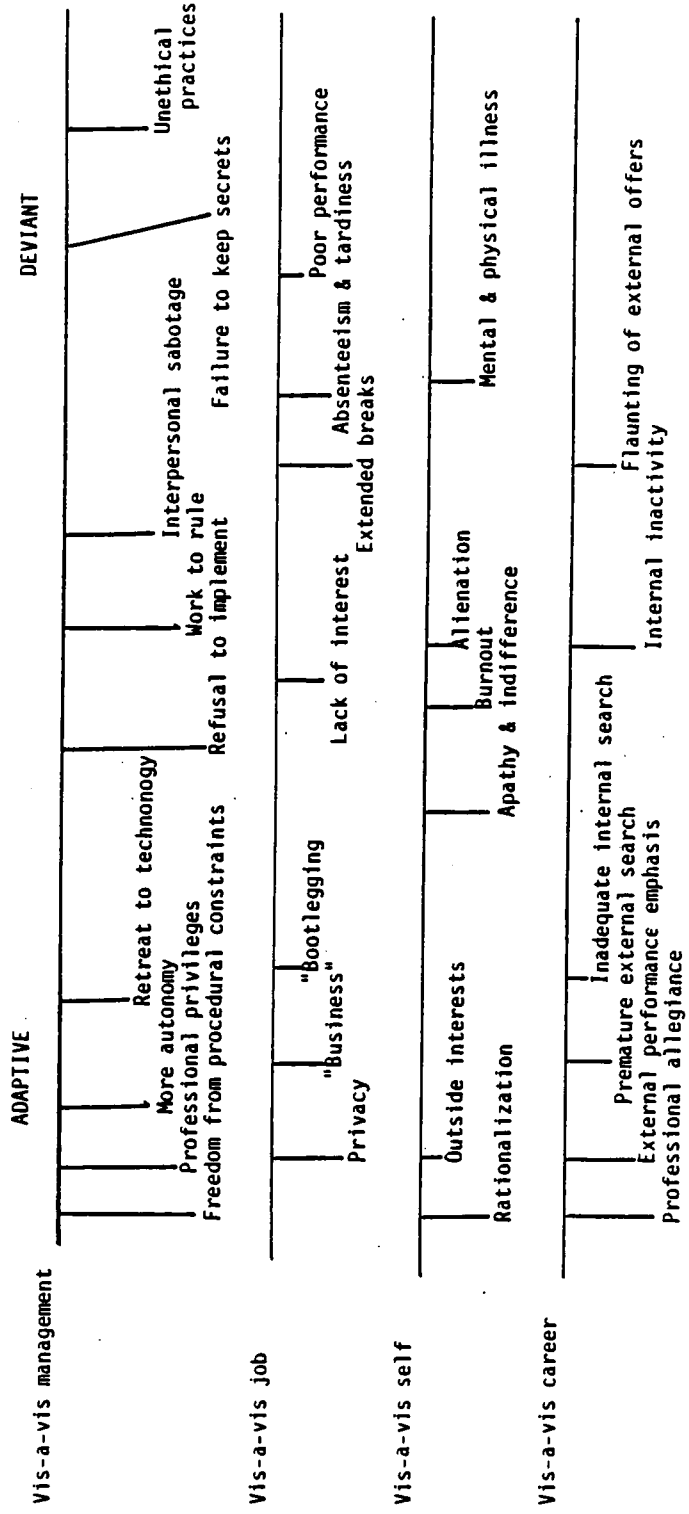
UNDERSTANDING THE PROBLEM EMPLOYEE

In an attempt to enable the manager to understand the problem employee, Flynn and Stratton (1981) identify the common element in all problem behavior as frustration. They explain that the defense mechanisms that employees develop to protect themselves from their own problems are the very behaviors the manager defines as "problem." These defense mechanisms have been characterized by Wilkins and Haynes (1974) as "frustration instigated behaviors." They include aggression, rationalization, fixation, repression, regression, and avoidance. These actions are also referred to as "deviant behavior" by Baelin (1984).

Baelin's notion of "deviance" is adapted from Merton, and defined as occurring "when people use illegitimate means, or methods, not sanctioned by the organization, to accomplish their goals." From this perspective, "deviant behavior" means behavior which, from the manager's perspective, reduces the ability of the organization to provide the level of goods or services necessary to the accomplishment of organizational goals. In Baelin's view, career dissatisfaction will lead to the employee taking some action to reduce the disaccord he or she is experiencing in

the organization. This action may be "adaptive" or "deviant." An employee who reacts with adaptive behavior may be dissatisfied, but will not often be a problem for the manager. A "deviant reaction," however, will soon alert the manager to the presence of a problem employee. In terms of assisting the manager to understand the pattern of behavior exhibited by problem employees, Raelin (1984) is helpful. While his article is written to describe "deviant/adaptive" behaviors in the careers of professionals, it appears possible to extrapolate his model to any employee whose behavior is a result of conflicting expectations with management. Raelin's continua of "deviant/adaptive" behaviors are depicted in Figure 2.

It is important to note here that Raelin examined the behavior of employees in the private sector. In a public agency it is possible that what Raelin terms "deviance vis-a-vis management" (see Figure 2) is, in fact, responsible behavior if management is acting counter to congressional mandate or public intent. Employees who refuse to implement management directives which are counter to agency purpose or who fail to keep management incompetence secret by whistle-blowing may be, in fact, responding to the greater purpose of the organization which is to serve the public. An example of employees who acted responsibly in a



Adapted from Raelin (1984)

Figure 2
Continua of Deviant/Adaptive Behaviors

way Raelin would call "deviant" occurred in the previously discussed EPA employee response to Ann Burford's departure from agency purpose.

It is also important to note that Raelin is not presenting a medical model in which "adaptive" equals "well" and "deviant" equals "sick." Rather, he is demonstrating, from his research, that when employees experience conflicting expectations between themselves and management they will demonstrate certain coping mechanisms. These mechanisms will be vis-a-vis the manager, the job, themselves, or their careers. They occur as a survival technique in a dissatisfied employee. They may manifest themselves in a way that the manager considers problematic such as "poor performance" or "absenteeism and tardiness." They may, however, be behaviors which do not affect job performance. The point here is that when conflicting expectations do occur, an employee will take some action to deal with the situation. A manager needs to be aware of this phenomenon.

LACUNAE IN THE LITERATURE

The sparse literature on problem employees seems to offer dichotomous explanations for the existence of these people in the work place. Some of the literature on problem employees assumes that the employee becomes a problem because of some chronic disorder such as drug abuse, alcoholism, or mental illness; or because of a situational trouble such as marital, legal, family, or financial matters. The rest of the literature blames the existence of the problem employee on an incompetent, ineffective, manager or on a flaw in organizational design. Even RPM, which has the most potential for prevention and intervention depicts the employee as a person willing and able to work, but thwarted by managers who make things worse. The fallacy in this dichotomous approach to explaining the problem employee is that it negates (or, at least, ignores) the identity differences inherent in human beings. These identity differences are explained in Chapter 3.

This dichotomous conception of situational causes lends itself to the expectations that a situational change will foster problem resolution. If a person is referred to Alcoholics Anonymous or to an EAP, the literature assumes that problem behavior will be changed. If marital problems are resolved, or legal matters settled, the traditional

theorists would predict that since the problem has ended, the problem behavior will cease. For those theorists who conceive of the manager or organization as the cause of the problem employee, a similar expectation exists. They would predict that a change in management style or in organizational design will eliminate the cause of the problem and in so doing resolve or terminate the problem. This is not to disagree with the notion that a problem can be solved, but it is to say that this approach to dealing with the problem employee is inadequate.

A cause/effect perspective on dealing with the problem employee cannot be viewed as erroneous, rather it must be viewed as insufficient. For the manager is concerned with changing problem behavior to productive behavior defined in terms of organizational goals. The cause of the problem is not as relevant for the manager as the extinction of the problem. Since Reality Therapy does not purport to deal with causes, its value to the manager is great, as will be discussed in Chapter 4.

These cause/effect attempts to explain the problem employee are insufficient because they do not recognize that the employee may be a problem at work because personal goals are allowed to take precedence over organizational goals, nor do they recognize that some employees have an identity

which handicaps them in dealing with life and work situations.* They do not give cognizance to the fact that some people are "born losers" or that others may respond to stress with vindictiveness, belligerence, drugs, or aggression, while still others may simply give up. Rather, problems in the work place are simply assumed by the theorists to be caused by a situation in personal or organizational life beyond the control of the employee. This failure to account for identity differences creates an inexcusable gap in theory which this dissertation will remedy.

Another serious disparity in the literature is the failure to recognize that the problem employee does not act and react in a vacuum. While the systems approach to management (Katz and Kahn, 1975) has thoroughly explored the inter-relatedness of different organizational functions and demonstrated that a change in one segment of the organization precipitates a ripple effect, it has not even considered that problem behavior, as defined here-in, on the part of an individual employee, can destroy the organizational equilibrium. Failure to recognize the individual employee as a creator of dynamic forces which

* The term identity is defined as the way in which a person approaches and deals with other people and with situations of daily life. This term is discussed in depth in Chapter 3.

have as much potential to de-stabilize the organizational systems, as do environmental influences, is, at best, an oversight, at worst, an egregious flaw.

For one individual's problem-creating behavior can shift the organizational balance and change organizational focus from fulfilling purposes to reducing disturbance. This imposes an enormous energy drain on the manager, especially in light of prevailing theory which has conditioned the administrator to accept total responsibility for problems which may, in fact, have their roots far afield from the organizational environment. This drain can be so disruptive that organizational goals become secondary even to the manager.

The lacunae in administrative and management literature identified in this section point to the need for the theoretical reconceptualization of person-at-work which will be provided in this dissertation.

FINDINGS OF THE MERIT SYSTEMS PROTECTION BOARD (MSPB)

The existence of problem employees in the federal work force is a growing concern to the Office of Personnel Management, which views "the sole reason for the federal government's existence" as "service to the citizenry." (USMSPB, The Elusive Bottom Line, 1982). The MSPB's report

on productivity in the federal work force (1982) explains that

The Civil Service Reform Act of 1978 stated the policy of the United States to be "to provide the people of the United States with a competent, honest and productive work force..." This end is explicitly expressed in the fifth merit principle: The Federal work force should be used efficiently and effectively.

Other expectations for the behavior of Federal employees which were included in the Civil Service Reform Act (Pub. L. No. 95-454, 92 Stat III 1978) include:

- All employees should maintain high standards of integrity, conduct, and concern for the public interest.
- Employees should be retained on the basis of the adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards.

In an attempt to determine to what extent these expectations are being met in the Federal work force, two studies were conducted by the MSPB. One explored productivity (USMPB, "The Elusive Bottom Line," 1982). The other looked at removals for incompetence (USMPB, "The Other Side of the Merit Coin," 1982). The MSPB study defined productivity by its discrete elements. These include:

- * Increasing efficiency (the ratio of input to output).
- * Improving the quality of services.
- * Decreasing the cost of services.
- * Decreasing the time required to provide the services.
- * Increasing the usefulness and effectiveness of services.
- * Reducing flaws, errors, accidents.
- * Ensuring courtesy to the public.
- * Improving the responsiveness of services to public need.

The MSPB study concluded that:

- * Federal executives and mid-level managers on a Government-wide basis have a generally positive view of their productivity and that of their work groups.
- * Nevertheless, approximately one-fifth (20%) of all Federal executives and one-quarter (24%) of all mid-level managers saw high potential for increasing the amount of work produced within their groups, with no increase in staff. An even greater percentage (24% and 27%), respectively) saw high potential for improving the quality of work produced within their groups.
- * Furthermore, major differences emerge when responses are examined on an agency-by-agency basis. Our agency-specific data indicates that major improvements in productivity can be achieved in some agencies.
- * Within the agencies where respondents saw substantial room for improvement, mid-level managers tended to see greater room for improvement than did senior executives.
- * The relationship between respondents' rating of their immediate supervisors and positive indicators of productivity was surprisingly weak. Based on our data, it appears that poor supervisory skills have an adverse effect on productivity, but good supervisory skills have only a marginally positive effect.

* Thus, the data suggest that a general emphasis on improving in the quality of supervision will not, in itself, bring about a dramatic improvement in Federal productivity. Rather, substantial improvement in the productivity of the Federal work force will require attention to a broad spectrum of areas in addition to supervisory effectiveness--areas such as employee selection, work methods, procedures, technology, organization structure, or clarification of the organization's mission. Further investigation is needed to identify which of these "additional areas" might be particularly appropriate on a Government-wide basis, and which might be applicable on an agency-specific or program-specific basis.

Regarding removals for incompetence in the Federal service, the MSPB concludes that "the most accurate statement that can be made regarding the removal of incompetent Federal employees is that no one can say with confidence...exactly what happened to Federal employees whose performance was inadequate" (US MSPB, "The Other Side of the Merit Coin," 1982). This is because of the imprecision of the Federal data base and, what the MSPB report calls, "The social impediment." The social impediment is a phenomenon, which exists in both the private and public sectors. It is the reluctance of any organization to actually fire an employee for inadequate performance. With these caveats, the findings of the MSPB on removals for incompetence indicate:

* The statistical data regarding what happens to Federal employees whose performance is inadequate is itself inadequate. The statistics being maintained do not give a clear picture of what happens to Federal employees who are poor performers. It is virtually impossible to say with authority what the crucial trends are in this area.

- * On the other hand, whatever those facts may be, it is clear that Federal employees themselves have a relatively low expectation that they will be removed from employment should their performance be inadequate.
- * However, employee attitudes on the question of the likelihood of their removal for inadequate performance vary significantly among several Government-wide populations. Senior executives, for example, see themselves as relatively more vulnerable to removal than do mid-level employees.
- * Employee attitudes on the subject also vary markedly among the different Federal agencies. As is true of almost every subject examined, the Federal Government is demonstrably not a monolithic employer.

SUMMARY OF THE LITERATURE REVIEW

This chapter has reviewed the information on problem employees which is available in current management literature. It has demonstrated that knowledge in this area is lacking in both research and theory, and that most of the literature is written by and for practitioners. The section on findings of the MSPB demonstrates the concern of the federal government regarding the problem employee but points to yet another lacuna in this area--the concerted ignorance on how to identify and cope with the problem employee--the issues with which this dissertation will deal.

Information garnered from this review of the literature will be utilized to develop the "Interactive-Holistic" theory of person-at-work which is articulated in the next chapter. Specifically the theory will rely on Hollman,

Cairo, Raelin, Flynn and Stratton in asserting that problem employees are an inescapable fact of organizational life, and that a manager must develop tools for dealing with them. Clues for identifying a problem employee will be taken from Filipowicz who identified these as: excessive absences, tardiness and early departures, altercations with fellow employees, causing other employees injuries, poor judgment, unusual accidents, and involvements with the law. Future chapters will also utilize Glasser's articulation of the term "identity" and rely heavily on Glasser's Reality Therapy as a means of dealing with the problem employee.

Future chapters will also attempt to eliminate the identified lacunae in public administration literature by providing a theory which acknowledges the presence of problem behavior in the work place and then offering the manager a tool for dealing with the problem employee.

Chapter III

INTERACTIVE HOLISTIC THEORY OF THE PERSON-AT-WORK

This chapter provides a theory of person-at-work which addresses the reality of the problem employee as a member of the work force and demonstrates that the notion that employees can be consistently, completely and uniformly productive is unrealistic, if not naive. For employees do not operate in a vacuum. Rather they are members of a dynamic system, affected by and affecting persons and environmental conditions both outside and within the work place. This is the crucial concept missing from existing theory. It will be illustrated throughout this chapter with research conducted by, and examples taken from, cases which came before the federal Merit Systems Protection Board (MSPB) and by incidents in the researcher's experience. These cases provided a particularly advantageous empirical domain because, an employee had to become a problem as defined here-in, in order for the case to have appeared before the Board. The cases were wide-ranging in diversity and the main task was to aggregate their major characteristics.

Cases which come before the MSPB are those for which satisfactory resolution did not occur at a lower appeals

level. The MSPB receives approximately 1500 cases per year. A case is brought to the MSPB as a part of the federal employees' grievance procedure. If an employee files a grievance against a supervisor and it is not resolved to the satisfaction of either, both have the right to appeal to one of eleven regional offices. The regional office hears and arbitrates the initial appeal. If satisfactory resolution is not obtained, either the agency or the employee can appeal to the three member MSPB, which then requests the transcript of the agency file and the record of regional appeal activity. It first makes a decision as to whether, or not, to hear a case. If the decision is made to hear a case, the appellant, witnesses, and agency representatives appear before the MSPB. A record from two to eighteen pages in length is made which summarizes the case and actions taken. These summaries were used as the data source for this research. Actual transcripts were not utilized because a spokesperson for the MSPB stated that a request to review actual case transcripts might take a year to honor, as each transcript must be read and censored by MSPB personnel before release.

In order to obtain a cross-section of types of cases which have been appealed to the MSPB, 150 case summaries were randomly selected from the Federal Merit Systems

Reporter (US MSPB, 1979 - 1984). An abstract of each case was prepared, and information from the case was recorded on the "Case Survey Coding Instrument" which is presented in Appendix A.

Procedures used to conduct the case analysis were adapted from Yin and Heald (1975), Dunn and Swierczek (1977), and Dunn (1981). First the closed ended questionnaire (i.e., the "Case Survey Coding Instrument") was developed by drawing upon the literature and the theoretical orientation of the research. It attempts to identify a range of conditions from existing cases and to identify the causes of the problem employee and the effects created by the problem employee.

For the development of the Interactive-Holistic theory of person-at-work, the stream of psychology emanating from Alfred Adler and culminating with William Glasser will be relied upon heavily. This conceptual stream not only provides a more complete picture of the person-at-work than has heretofore been engendered, but it offers explanations and understanding not possible without it.

THEORETICAL ORIENTATION

Traditionally the counseling psychology literature has not dealt with the problem employee, per se but, rather, with the problem individual. Counseling literature has developed from the 19th century tradition of Sigmund Freud. The first triumvirate of psychology was Freud, who named his methodology "psychoanalysis;" Alfred Adler, who developed "individual psychology;" and Carl Jung, whose form of psychology is known as "analytic (or, complex) psychology." Both Adler and Jung separated from Freud, Adler in 1911, and Jung in 1913 (Ansbacher and Ansbacher, 1964). Though numerous counseling theories and techniques have developed since that time, all have their roots in the thinking of one of the members of the initial triumvirate.

The counseling approach chosen for the development of this theory of person-at-work is that of Reality Therapy, as articulated by William Glasser (1965). Reality Therapy has its theoretical roots in the "individual psychology" of Alfred Adler, though this is not often evident at first reading. In essence, "Adler concentrated on building a theory, leaving the method of application up to the individual therapist; Glasser developed a method of doing therapy, by building on Adlerian theory" (Whitehouse, 1984).

Reality Therapy is not the only counseling theory in good currency which has developed from the work of Adler. Gestalt psychology, with its emphasis on the whole, rather than the elements, on the interaction between the whole and its parts, and its conception of the term "social interest" is also in the Adlerian conceptual stream, as is the field theory of Kurt Lewin which developed from Gestalt psychology. In fact, Lewin has stated that Gestalt psychology "confirmed experimentally the correctness of Adlerian views." (Ansbacher and Ansbacher, 1964)

The client-centered psychology of Carl Rogers is also theoretically grounded in the Adlerian approach, with similar propositions such as the tendency of the individual to strive for self actualization, perception of the individual as an organized whole whose behavior is goal-directed, and the individually perceived world.

Adlerian psychology is a philosophy of life, founded on the idea that human beings are socially oriented and can, therefore, fulfill their basic needs only as productive members of society. He identified three life tasks which face everyone: love, work, and friendship. Adler believed that each person should be viewed holistically, with emphasis on the recognition that behavior is goal oriented, and that people choose their behaviors in line with their

goals which are determined by early life experiences which pre-dispose perceptions. Therefore people are viewed as responsible, masters of their fate, proactive, rather than reactive (Whitehouse, 1984).

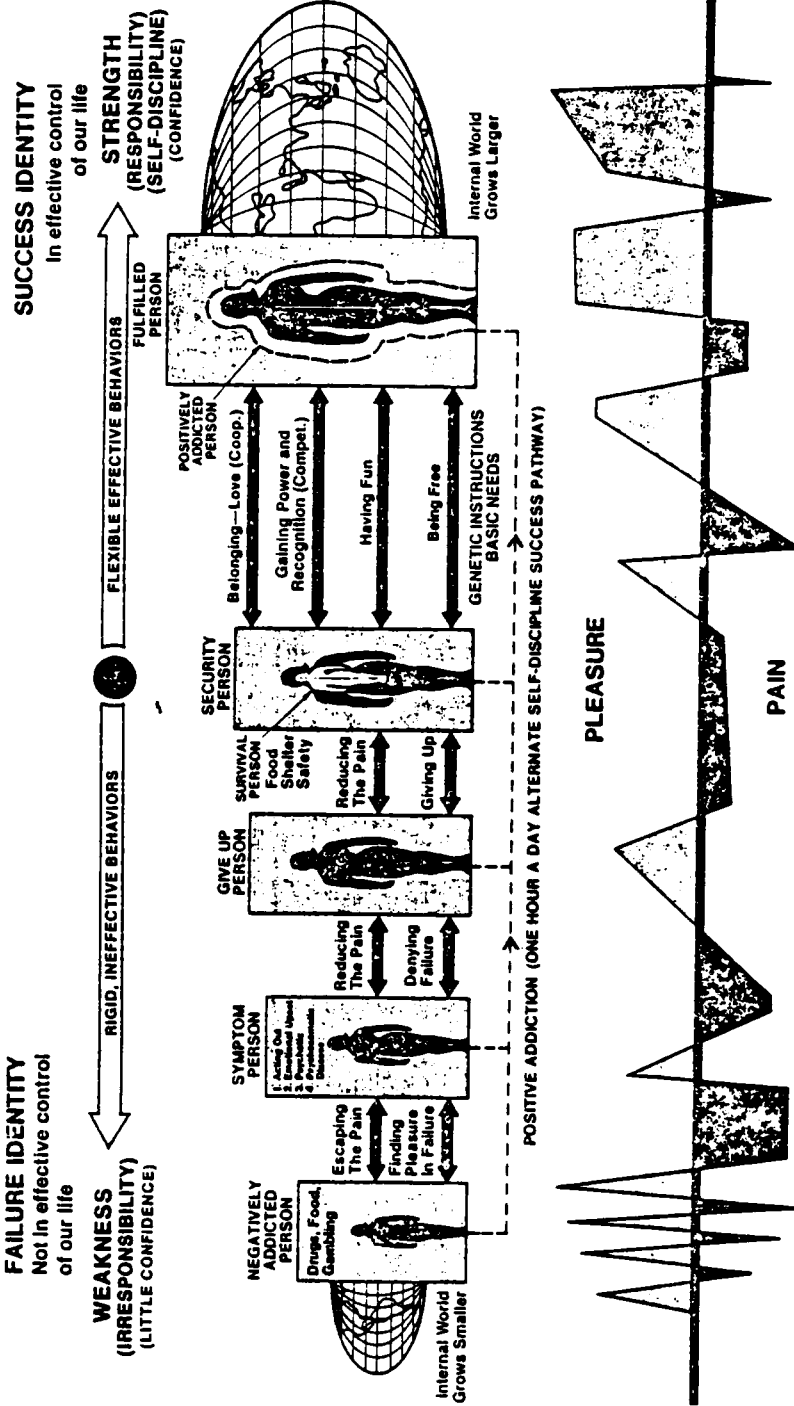
Adler explains that his style of psychology is "committed to the principle of investigating the system of a psychological disorder along the path which a patient himself has taken." He believed that the most effective means of doing this "are given in a comprehensive understanding of (1) the earliest childhood recollections, (2) the position of the child in birth order, (3) childhood disorders, (4) day and night dreams, and (5) the nature of the exogenous factor that caused the problem." (Ansbacher and Ansbacher, 1964) To provide understanding of a problem individual, Adler developed a "life-style assessment," which is a series of questions designed to expedite the discovery of the way in which a person reacts to the environment in trying to meet defined needs. Adler believed this understanding would then provide the therapist with a guide for intervention. The questions he used in developing a "life-style" assessment are presented in Appendix E.

Glasser, however, operates from the standpoint that "of all behaviors - thinking, feeling, doing - the easiest to change is doing, regardless of whether or not the change is

made with accompanying insight." (Whitehouse, 1984) Thus, Glasser does not operate from information gained in a life-style assessment. Rather, the focus of Reality Therapy is on the present. For Reality Therapy, Glasser derived the concept of two built-in needs, which he adapted from Adler's three life tasks. These needs are: 1) the need to belong and be loved, and 2) the need for gaining self-worth and recognition. When a person is not meeting these needs, suffering ensues, and the person, in response to the suffering, will act to meet those needs. For Glasser, a person's world view (which is analogous to Adler's life-style) will be from the stance of either a "success identity," or a "failure identity." The identity dictates the manner in which a person behaves in order to meet basic needs. These concepts of Reality Therapy are depicted in Figure 3.

According to Glasser, Reality Therapy can provide a manager the means of dealing with the problem employee, and a means by which problems can be prevented. With therapy defined as a "specific treatment," Reality Therapy can be conceived of as a specific treatment which enables a person to deal with reality, i.e., with the "quality appertaining to phenomena that we recognize as having a being independent of our own volition (we cannot 'wish them away')." (Berger and Luckman, 1967).

THE BASIC CONCEPTS OF REALITY THERAPY



8 STEPS OF REALITY THERAPY

- 1) Make Friends.
- 2) ASK: What Are You Doing Now? What Are You Really Want? And Then Ask: What Do You Really Want?
- 3) Ask: Is It Helping? Or Is It Against The Rules?
- 4) Make A Plan To Get What You Want Or Really Want.
- 5) Get A Commitment.
- 6) Don't Accept Excuses.
- 7) Don't Punish But Don't Interfere With Reasonable Consequences. Don't Criticize.
- 8) Never Give Up. Do Not Confirm The Failure Identity.

Figure 3

Basic Concepts of Reality Therapy

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Now, it is true that, phenomenologically, events create different realities for different people. However, from the perspective of Reality Therapy,

action can be called realistic, or unrealistic, only when its remote (sic) as well as immediate consequences are taken into consideration, compared, and weighed. If the...pain, suffering which ultimately occur as a result of a given action exceed the immediate satisfaction produced, that action may be termed unrealistic; whereas, if the satisfaction which ultimately occurs as a result of an action is greater than the immediate effort or sacrifice associated with it, such an action can be called realistic. (Mowrer, 1975)

Thus, the Reality Therapist encourages examination of actions in light of that reality which cannot be "wished away," and facilitates realistic choices which can lead to greater self actualization, and, thus, to motivation and job satisfaction.

While it may take a creative leap for some to envision the manager as Reality Therapist, Glasser insists that anyone who works with people can be trained to use Reality Therapy in their work (Evans, 1982). He points out that Reality Therapy provides a positive approach to dealing with under-motivated employees.

Reality Therapy is also a problem preventative. Glasser observes that most administrators make the assumption that an employee knows what to do, whether on the job, or in dealing with personal problems. However, he

cautions, "the employee often doesn't have any idea of what to do at all."

The steps of Reality Therapy, as they can be used in management, have only been articulated by Karrass and Glasser (1980) in their book, Both Win Management, in which they coin the term, "Reality Performance Management," (RPM) as the use of Reality Therapy in management. The steps of RPM have been listed in Chapter 2, "Review of the Literature." A real problem with Both Win Management is that it was written for the popular market. As such, it is neither scholarly, nor empirically tested. Its Adlerian antecedents are obvious only to those who have studied counseling, and it is a prescription, not a thesis. A strength of Both Win Management is that it links Reality Therapy to the conceptual stream of management engendered by Chester Barnard's 1938 book, Functions of the Executive, thus uniting the sometimes dichotomous disciplines of counseling psychology and management.

Barnard's central theme emphasized that an organization can operate efficiently and survive, only when both the organization's goals and the aims and needs of the employees are kept in balance. To accomplish this, he believed, is the "function of the executive," and can be attained through the "contributions-inducements model." Reality Therapy,

while recognizing that all employees do not operate within this model, provides a means by which non-monetary inducements can be utilized to keep the needs of the employee and of the organization in balance.

Barnard, in pointing out how important the informal organization is, suggests how significant the quality of interaction is. The formal organization comes about through the coordination of the activities of human beings, facilitated by a leader capable of communication. Glasser develops a means by which a leader can communicate effectively to encourage workers to contribute their actions toward a common purpose.

As Barnard observes, the acts of organizations are those of persons dominated by organizational, not personal ends. A goal of the executive must, therefore, be to compel people to accomplish purposes beyond their own immediate needs. The problem employee is one whose personal ends have taken precedence, over organizational goals. The Adlerian approach coupled with Barnard, as they combine in Reality Therapy for managers, is therefore the theoretical underpinning of the Interactive-Holistic theory of person-at-work here-in developed.

THEORY DEVELOPMENT

To develop the Interactive-Holistic theory of person-at-work, it was first necessary to focus on the nature of theory and the requisites of a well-developed theory. Theory can be defined as a set of inter-related causal hypotheses that attempt to explain the occurrence of phenomena. Its purpose has been articulated by Homans (1964) as the explanation of interrelated and proven propositions that answer the question, "Why?" Theory may be developed by either deduction or induction. Deduction requires that one reason from the general to the specific. Induction requires reasoning from particular facts to a general conclusion. For the development of the Interactive-Holistic theory of person-at-work the researcher has relied upon induction, with the form of functional relationships suggested by experience and observation.

This induction has led to the belief that the existing contractual-instrumental approach to understanding the person-at-work is far afield from reality. Schein (1980), in his summary of the major ideas underlying the existing perspectives on the person-at-work, states that these ideas can be classified as dealing with: 1) creating and designing the organization, 2) recruiting, selecting, training, socializing, and allocating human resources, 3)

how authority is delegated within the organizational and how the individual can influence the organization, 4) integrating organizational units, and 5) fostering organizational survival. While Schein admits that none of these ideas has developed into a theory, each provides a framework by which organizations and the people in them are traditionally studied. Their un-reality lies in their uni dimensionality. None considers the identity complexities of the individual employee. All have apparently evolved from deduction, with the various theorists looking at the organization, then attempting to explain the specifics within it.

From reading the existing literature it seems possible to accuse the existing theorists of abstracted empiricism in that the theorists appear to have allowed methodologies derived from the natural sciences to dominate their work and have used a highly nomothetic methodology to test a subjective theory, thus providing an incongruence between theory and method. Whether or not they are guilty of this charge, may be a moot point. The crucial issue here is that their ideas have not yet explained the myriad of interactions which can be observed in the work place, nor have they acknowledged, much less dealt with, the reality of the problem employee whose existence is evident to the practitioner and can be demonstrated by MSPB cases.

Thus, for the development of the interactive-holistic theory, induction has been relied upon, with the form of functional relationships suggested by experience and observations. By so doing, propositions regarding the person-at-work will be identified and demonstrated so that the question of why the problem employee exists can be answered. Such a theory, developed from observations and experience, has been termed "grounded theory" by Dunn and Swierzek (1977) who believe grounded theory is valuable for a number of reasons. First, because grounded theory is based upon actual observations and experiences, it contains internal validity. It is grounded in what is and does not try to fit existing conditions into a-priori generalities. Second, grounded theory lends itself to external validity. Because it is based on (grounded in) that which is observed or experienced in one set of conditions, it can be extrapolated to another similar set of conditions where observations were not made. In the case of the interactive-holistic theory of person-at-work, grounded theory allows observations of phenomena contained in the MSPB research and cases, and in the researcher's experience, to be considered as representative of phenomena in other organizations, and this constitutes external validity. Third, grounded theory contributes to the generation of new concepts, i.e.,

reflexivity, or the new representation of that which already exists. In so doing, it allows for a new and creative conceptualization of existing phenomena. This conceptualization clarifies the identity of the observed phenomena. In so doing, it promotes understanding of existing phenomena. Fourth, grounded theory promotes understanding among groups with conflicting frames of reference, i.e., it has translatability. Because of the above four reasons, it is believed that the use of grounded theory to conceptualize the Interactive-Holistic Person-at-Work will make a valuable contribution.

The interactive-holistic approach is useful for the conception of the individual employee as a part of a totality (or whole) in which and with which he interacts on a regular basis. Thus for purposes of naming this theory, dictionary definitions of interaction and holistic were chosen as the meaning behind the two concepts. "Interaction" is defined as a "mutual or reciprocal influence which admits causal action between mental events, between physical events, and between mental and physical events."

The term "holistic" is based on the philosophy of "holism" which is the philosophy theory first formulated by Jan C. Smuts that the determining factors in nature are wholes

which are irreducible to the sum of their parts and the making of the universe is the record of the activity of making these wholes. Simply put, the holistic approach acknowledges that no relationship is uni-dimensional and calls for an understanding of each element as a part of a whole. This is certainly not the only holistic approach to the conceptualization of human behavior. Gestalt psychology, for instance, studies perception and behavior from the standpoint of the organism's response to configurational wholes. Another holistic approach is that of open systems theory which recognize that the organization is a system, composed of many internal systems; affecting and being affected by external environmental systems. Both Gestalt psychology, and open systems theory are theories in good currency which are holistic in their approach.

A crucial difference exists, however, between the Interactive-Holistic theory and Gestalt psychology or an open systems approach. The Gestalt psychologist visualizes a structure or configuration of physical, biological, or psychological phenomena so integrated as to constitute a functional unit with properties not derivable from its parts in summation. The Interactive-Holistic theory does not focus on a configuration, or gestalt. Rather, it focuses on observable human behavior which is not explained as a part

of a functional unit, but as an identity response to an event, or group of events. The Interactive-Holistic theory is not systems theory either. Systems theory focuses on systems within systems while the Interactive-Holistic theory focuses on observable, individual behavior. While the individual is recognized as an actor within a system, the focus is on individual behavior, not on group or system actions or interactions. Thus, while the Interactive-Holistic theory requires that each employee be viewed in the totality of which he or she is a part, it does not focus on the totality, but on the observed behavior of the employee. This becomes clear in the following sections and resultant fifteen theory propositions.

Interaction

Individuals interact, but what causes the type of interaction and what are the potential results of that interaction in the work place? In the Adlerian prescribed concept of the individual, the type of interaction is caused by the way in which a human being seeks to fulfill needs for love, work, and friendship within the society in which he lives. Depending on the manner in which need fulfillment is sought, interactions may be negative as well as positive. To state that interactions between and among persons in the

work place occur may be to note the obvious, but to ignore this crucial phenomenon is to deprive one's self of the perspective necessary to understanding of the world of work.

For, as Adler observed, human beings are socially oriented and fulfill their needs only as productive members of society. In that society, any one person plays many different roles and interacts with people from many different subsystems of that society. These interactions are not mutually exclusive, for their ramifications effect the individual in what ever role he is playing in what ever subsystem of society he enters.

As a person in the work force, then, the individual carries with him the results of previous or anticipated interactions into the organization. This "mental baggage" will then influence the way in which the person-at-work performs as an employee. It therefore seems necessary to explore the types of responses a person may experience because of his various interactions and to determine how those responses may impinge on an organization.

To accomplish this it is necessary first to conceive of the organization holistically as a dynamic system which is linked to the greater societal system by the individuals within it.

That the organization is an open system in constant interaction with its environments was best explained by Katz and Kahn (1966). The complexity of the relationship becomes evident when one considers the difficulties inherent in defining organizational boundaries, recognizes that the organization's environments are in a constant state of flux, and acknowledges that the organization carries representatives of the external environments within it (Schein, 1980). In an attempt to describe the dynamics of an organization, and at the same time provide a diagnostic model for analyzing those dynamics, Kotter (1978) identified seven conceptual elements: 1) key processes, 2) external environment, 3) employees and other tangible assets, 4) formal organizational arrangements, 5) the social system, 6) technology, and 7) the dominant coalition. In so doing, he identified the myriad interactions that occur within and around the organization. However, the problem with such a conceptualization of the dynamic system of which the organization is a part, is its focus on subsystems in their totality, rather than allowing for the differences inherent in the individuals who comprise the subsystems.

Yet, organizations and their environments are composed of, influenced by, and operated under the direction of human beings. Key processes could not take place if a person did

not exist to operate or implement the process. The external environment is composed of people who are suppliers or clients or regulators. The term "employees" means more than the size or composition of the labor force. The organizational structure is not tangible but rather one of individual, reporting, or peer relationships. The social system is composed of interacting human beings. Technology requires persons for operation. Even the dominant coalition would not exist, if a number of persons did not exist and interact to bring it into being. Thus existing models of organizational interaction, while necessary are insufficient for they depict abstractions such as "groups" or "systems," or "processes" rather than the persons who comprise these different elements.

Human beings are simply the essential ingredient in any concept of interaction in the work place. Each has a mutual or reciprocal influence on those with whom he comes in contact. If this thesis seems plausible, then it becomes apparent that the concept of interaction is crucial in an inductive theory of the person-at-work.

Proposition 3.1: Behavior in the work place is affected by the employee's interactions with all of the systems of which he is a part, only one of which is the organization.

Identity

The type of interactions in which an individual engages and the way in which he approaches and responds to those interactions will be determined by his "identity," i.e., the unity and persistence of his personality. Glasser conceives of five types of identities from which people operate. The "success identity" is that in which a person is fulfilled, rational and self-actualized. The person who is concerned with security and whose behavior reflects an effort to ensure comfort also has a success identity. For both the "fulfilled" and the "security" person will see that their needs are best met through socially accepted activities which bring love, a sense of belonging, and the opportunity to gain recognition for achievement and productivity. This is the identity with which traditional public administration theory, as well as management, human relations and economic theory, has dealt. The "success identity" is the one which responds positively to motivation and leadership, to training, to job and organization design. This is the person who fits Raelin's (1984) continuum of "deviant/adaptive" behaviors and this is the identity which has made possible the Horatio Alger notion of the American Dream. Unfortunately, every member of the work force does not possess a "success identity."

It is also unfortunate that most (maybe all) academicians and managers can only conceive of persons with success identities because they themselves have attained their place in life because their's is a success orientation. It is a typical fallacy of human thinking to view others as thinking like or capable of thinking or doing as "I" do. This phenomenon is demonstrated daily by university educated parents who don't understand why their offspring quit high school and by judges who return battered children to abusing parents, thinking, "I" spank "my" kids too. But, all persons do not have a "success identity."

This is not to say that managers and academicians and, for that matter, everybody else, believe that people are clones. Certainly, it is recognized that some people are introverts and others extroverts, while the personality types identified by Myers-Briggs remain in good currency. Certainly, it is also recognized that different people have different goals, and that some are procrastinators, some are pessimistic, others are optimistic. The list of "differences" could go on. However, the crucial point here is that all of these people may, or may not, have a "success identity." Yet, when they have been fit into traditional administrative theory, they have usually been assumed to be rational, self-actualizing, success oriented persons. Then

when the particular theory only applies "part" of the time, the problem is assumed to be with the theory, rather than with the recognition that the theory fits well for the "success identity."

Fortunately, a large part of the work force does have a "success identity." However, to view the entire work force from this perspective is to attempt to fit a number of round pegs into square holes and to experience the frustration that this futile behavior creates. To prevent such useless effort it is necessary to accept that some members of the work force, to varying degrees, have a "failure identity." Glasser's continuum shown in Figure 3 illustrates this well.

For Glasser, persons with a "failure identity" are those whose behavior is unrealistic. While they too seek love and belonging, their methods for achieving these goals are the opposite of those with a "success identity." While the success oriented persons are able to postpone short term pleasure for long term results, the "failure identity" is very present oriented. A "success identity" will respond to disappointment or frustration or tragedy with, at best, a plan of action or, at worst, a rebound. A "failure identity," on the other hand, will exhibit itself as either a "give up person," a "symptom person" or as a "negative addict."

The "give up person" is the one who does just that in the face of even a small challenge. These are the people who cannot understand bumper stickers like "when life gives you lemons, make lemonade." These are the wall flowers at parties and the persons in the work force who avoid or refuse challenging assignments. They often expect someone else to take care of them or solve their problems, and will frequently exaggerate work accomplishments while being ready to blame their failure on others.

The "symptom person" is more overt in behavior. This is the person whose problem behavior is obvious and exhibits itself in belligerence, aggression, shouting, obscenities, and general trouble making. This person is very self-oriented and one who can quickly be labeled as a trouble maker. While the "symptom person" fights in an effort to meet basic needs, the "negative addict" turns to alcohol or drugs as a means of escaping pain.

In considering these different identities, the reader is cautioned to set aside personal perspectives so as not to be trapped into overly identifying with the negative identities because of an occasional response to frustration with yelling, cursing, or getting drunk. It is important here to remember that the "negative addict" is the alcoholic, or the drug addict, and that the "symptom person"

is the one consistently involved in altercations at work, feuds with neighbors, and belligerent responses to constructive criticism.

It is important to understand that once in the work place the identity of any given worker has many opportunities to affect all components of the system. The "success identities" are the doers, the creative force behind innovations, and the problem solvers. The "failure identities" are the apathetic, the trouble makers, the disturbed, and the disturbing.

Proposition 3.2: Within the organization, the identity of any given employee shapes, or reshapes, all the components of the organizational system.

It is also important to understand that these identities exist and, in fact, do find their way into the work force.

Interaction of Employees Within the Organization

That the identity which one employee brings to the organization can affect the satisfaction, motivation, and productivity of co-workers through their interactions seems obvious. The degree to which this can happen is often overlooked. Several extreme examples of this were illustrated in the cases which came before the MSPB. Three of these are being utilized to illustrate the kinds of effect one employee's identity, reflected in his behavior, can have on fellow employees.

"The Sexual Offender"

In this instance an Administrative Law Judge was terminated for exhibiting "lewd and lascivious behavior which was offensive to both men and women" in his office. This behavior, which is that of a "symptom person" had caused the morale and productivity of the entire staff to deteriorate and had eroded all confidence in any decisions he made. Typically, he denied that there was a problem and accused people of taking things out of context. However, numerous co-workers had been insulted, and the lascivious judge was terminated.

"The Helper"

In this case, an agency electrician who was a "fulfilled person" with fourteen years of service and no disciplinary record, was negatively influenced by his fellow employees. Two of his co-workers had unlawfully used agency purchase orders to acquire wire valued at \$418 for their personal use. When their supervisor learned of this and started to investigate, the two culprits asked their co-worker, the electrician, for help. He then decided to cover for them by writing a personal check for more wire and putting the wire in the storage bins. This did not deceive the agency investigators and the electrician was dismissed

on charges of falsifying agency records and serving as an accomplice to the fraudulent activities of others.

"The Fighter"

In this case a male warehouse forklift operator who was a "symptom person" struck a fellow female employee in the stomach and shoved her against a section of storage bins. The incident arose out of a personal disagreement between the two. The man was the father of the woman's child and she, apparently, wanted nothing further to do with him. His response to her cessation of desire was to strike her in the stomach. Yet her "give-up" identity precipitated the behavior which was the initial cause of his frustration.

From the above three illustrations it is easy to demonstrate how the identity which an individual employee brings to the work place can affect other employees. This is a similar concept to the folk saying that "one bad apple can spoil a barrel," and is a crucial element in the Interactive-Holistic theory of person-at-work.

Proposition 3.3: Within the organization, the identity which an employee brings to his interactions with other employees affects their attitudes and behavior.

Interaction of Employees and Their Supervisor

The next element to be considered is the reciprocal influence that manager and employees have upon one another. That a manager can, does, and should influence employee behavior toward productivity in both efficiency and effectiveness is a part of traditional administrative theory. It is so much a part, it seems, that somehow the other side of that influence coin gets obfuscated. As demonstrated in Chapter 2, which reviews the literature on problem employees, managers are sometimes thought to be the cause of a problem and are most frequently told by the theorists that whether they are the cause or not, they should be able to solve the problem. This puts a tremendous burden on the responsible manager, who in the face of unsolvable problems may begin to question his own competence, as may his superiors, tutored in the same inadequate approach to explaining behavior in the work place.

To demonstrate that the identity which an employee brings to the work place influences behavior which does affect his supervisor, three more cases from the MSFB are presented.

"The Name Caller"

In this case, the employee's behavior was that of a "symptom person" -- belligerent and threatening. Because he did not agree with a decision his manager made, he prepared and distributed a flyer which criticized the manager. When he was suspended for this behavior, he filed a grievance. During the grievance procedure, he shouted that he despised the management official and called him a "pompous ass" and a "baby." Then he grabbed the manager's paper, crumpled it and tossed it over the manager's head; next he took the manager's keys and slung them onto a table. He then grabbed a pencil from behind the manager's ear and threw it over his head. The manager confessed to feelings of helplessness in dealing with this employee. The time it took to cope with the employee was time lost in operating the agency and in supervising other workers.

"The Whistleblower"

The fine line between "whistleblowing" and irrational, vindictive complaints is difficult to discern, as illustrated by the case of an employee who was a passport officer in the New York City Passport Office. He had submitted a number of memoranda accusing the Department of State of mismanagement in respect to its program of

detecting fraud in passport application. He continued to make disclosures at an increasing rate to persons ranging from his immediate supervisor up to the President of the United States. In his memoranda, which became increasingly critical in nature, and which were replete with invectives, he accused various members of the State Department hierarchy of incompetence or indifference regarding fraudulent passport applications. He implied that only he was qualified to run the fraud program. He had previously served as an alternate fraud coordinator, but he had been replaced.

This event seemed to have prompted him to accelerate the frequency of disclosures, as well as to make them more vitriolic. For instance, he referred to this change as a plan which was "analogous to a departmental request that Jack the Ripper shave Mary Magdeline's legs with a straight razor." He was subsequently suspended, and a transfer to Boston was proposed.

This employee had also been observed removing folders from the fraud file cabinet and he had refused to comply with direct orders to return the files. He had threatened to use force to take the files. Immediately after this, he was placed on Administrative leave, and was instructed, in writing, not to remove any files from the office. However, he continued.

The employee was discharged on the basis of insubordination and removal of government files. He appealed the discharge decision. At the regional level, the Administrative Law Judge found that the employee's acts did constitute insubordination. However, he made the unchallenged conclusion that the employee's disclosures were protected activities under the Whistleblowing Act, and concluded that the disciplinary action was taken as a reprisal for the whistleblowing activities.

During all this, the supervisor was not only having to contend with and try to supervise a non-productive employee, he was spending an inordinate amount of time trying to justify his own behavior up the chain of command--not a pleasant task. In the end, the hapless supervisor was judged to be guilty of retaliation--an illegal act.

"The Victim"

In this case a supervisor with a "success identity" was the victim of his own attempts to eliminate the problem behavior of other employees. Quite possibly because of his own feelings of responsibility for solving a problem, he was dismissed on charges of misconduct. This incident occurred during the Air Traffic Controller's strike. The manager affected supervised the Air Traffic Controller's Center in New York City.

Concerned over the ramifications the strike was having on himself, this supervisor went to the Union Hall during a meeting to plead with the strikers to return to work. He was documented as saying, "I wish you all'd come back because I'm too tired and old to be working these long hours."

Upon leaving the union gathering, he was accosted by a television news crew and interviewed. During the interview, as he tried to support both his employees and his agency, he made the statement that he supported some of the strike demands. Later that night, the agency head, while viewing the news saw and heard the interview. The next day the supervisor was fired.

These cases dramatically illustrate the effect that one, or many, employees can have on a supervisor's ability to perform. They show that, in a comprehensive theory of person-at-work, the reciprocal influence of employees behavior on the supervisor must be taken into account.

Proposition 3.4: Within the organization, the identity which an employee brings to his interaction with his supervisor affects the supervisor's ability to facilitate goal accomplishment.

Interaction of the Employee With the Organization's Core Technology

The next element to be considered is the effect of the identity the employee brings to the interaction with the organization's core technology (Thompson, 1967). That technology may be "long-linked," as in the case of an assembly line; "mediating," as is the case of processing applications or any other situation in which operations are standardized; or "intensive," where a number of techniques are used to achieve a change in some specific object. One side of this interaction has been identified by examining the affect of technology on the worker in the research on alcoholism. This demonstrates the high percentage of drinking problems in the manufacturing industry (U.S. Dept. of HEW, 1976 & Kandel, 1983/84) and the high rate of burn out among service providers. However, the theorists have again neglected to view the effect of the identity of the person-at-work on the organization's core technology. Again, three cases taken from the MSEB will serve to illustrate.

"Long-Linked Technology"

The delivery of mail in the United States is one example of a long-linked technology in which the same routine is followed on a daily basis as each posted item is

sorted, routed, transported, and delivered. Yet the failure of any one individual to carry out any one of this succession of tasks can subvert the entire technology of mail delivery by removing, or damaging, one of its links. This happened in the case of a US postal worker who was a "give-up person" whose behavior sabotaged mail delivery on his route. For whatever reason, he arbitrarily decided that third class mail was not worth the time and effort it took to deliver. Instead, he disposed of it by hiding it under a U-Haul trailer next to a trash dumpster in the parking lot of an apartment complex. Not only did he subvert the organizational technology by arbitrarily eliminating one of the series of required tasks, but he falsified records and, when confronted, denied the action.

"Mediating Technology"

Processing of applications for public assistance by social service agencies in the United States is an example of mediating technology in which standard operating procedures are established and enforced. While it is recognized that clients can intercede to make following the standardized activities difficult, to fail to follow them is to change the technology. Yet, employees can and do ignore or misinterpret policies, as in the case of a Social

Services Representative for the Bureau of Indian Affairs who had a "success identity." This employee had received a written request from the local administrator of the Public Health Service requesting that assistance be provided to employees of the Health Service who had not received pay checks due to an accounting error. In response to this letter the social service worker accepted, processed, and approved the applications of seven people, who were later determined to be ineligible for the money.

Thus this employee's identity response of helping those in need affected the agency's mediating technology. Her ad hoc response temporarily changed established procedures. In so doing, she changed the technology and subverted the organizational goal of assisting only those applicants who met eligibility requirements.

"Intensive Technology"

Operating the "intensive" technology are employees whose specialized training qualifies them to draw upon a variety of techniques to bring about change. The intensive technology is most easily described in the context of a hospital in which all services are geared toward improving patient health. It is in this setting that this case illustrates the way in which an employee who is a "give-up person" can affect intensive technology.

This is the case of a neurosurgeon at a Veterans Hospital who negatively influenced the service technology. He failed to fulfill his agreement to conduct research and publish scientific articles. He did not adequately manage the clerical and research functions under his supervision. Not only did this adversely affect patient services, but this physician compounded the negative effect by failing to maintain adequate patient records. He thus hampered quality care. Both his behavior and the damaged technology affected the organization's task environment, as well as other members of the organization, and the clients, again illustrating the widespread, ripple effect of one person's behavior in the work place.

These cases demonstrate that employees do interact with, and influence the organization's core technology. They show that in a comprehensive theory of person-at-work, the interaction of employee with core technology must be included.

Proposition 3.5: The identity which an employee brings to his interaction with the organization's core technology affects the accomplishment of organizational goals.

Interaction of the Employee With the Organization Structure

While it is easy to conceptualize the effect of organizational structure, with its line and staff reporting relationships, upon the individual in an organization, the effect of that same individual upon organizational structure has not been articulated. Yet this too is a reality, and its inclusion in the Interactive-Holistic theory of person-at-work is necessary to continue in the development of the whole picture. Persons with success identities, who productively inhabit the organizational core, will affect structure by contributing in the development of a more effective design. The effect of a problem employee can result in the creation of a new position, a new reporting relationship, or even a revised structure. This type effect is illustrated in the following cases.

"The Complainer"

In this case organizational structure was arbitrarily changed by a supervisor's department head in response to the symptom behavior of one employee in a work unit. This employee had responded to instructions with hostility, created and followed her own policy, and threatened her supervisor with physical assault. When the supervisor instituted disciplinary action, the employee filed

discrimination charges, claiming prejudice because of race. The department head in this agency then reacted, apparently out of fear that discrimination did exist, and without getting the facts of the situation. He created a new position of "ombudsman" whose role was to mediate between supervisor and employee. This assignment negatively affected the manager who felt threatened. At the same time, it exacerbated the employee's behavior.

"The Incompetent"

In this case a soil scientist, who was a "give-up person" responsible for determining soil types and preparing maps, was so incompetent that his work could not be trusted. Although the manager gave him several grace periods in which to upgrade his work, he never did. Organizational structure was then changed to provide a position to check, correct, or redo this employee's work. The soil scientist then charged that his right to privacy was violated because another person had seen his reports. At this point, the soil scientist was terminated.

"RIF"

Reduction in Force (RIF) procedures demonstrate a way in which organizational structure change can affect

individuals in the work force as well as how the legislative system can affect a public agency which in turn influences the individual within it. In Fiscal Year 1982 (the most recent period for which data is available), 24 percent of the cases which came before the MSPB were as a result of RIF procedures as defined in part 351 of Title 5 of the Code of Federal Regulations. These regulations were summarized in the "Federal Personnel Manual Letter 351-14," dated July 13, 1981. Despite repeated attempts by the Office of Personnel Management to revise them by increasing emphasis on performance and decreasing emphasis on seniority, they have not been altered. (USMSPB, December, 1983)

While it is possible to argue that RIF procedures did not alter structure, rather just reduced the number of employees doing the same work, the following case illustrates that structure was, in some cases, altered by a RIF.

In this case a secretary who was a "security person" was separated by a RIF. She had previously worked as a GS-13 secretary to a department head and his GS-15 assistant who were apparently negative addicts and were fired for misconduct. After their removal, their positions were abolished in a RIF and a new position at a GS-14 level was established. This position was assigned the same duties

that the woman had previously performed, but she was told her position had been eliminated in the RIF, which resulted in the removal of three levels in the organizational chart. Thus, behavior of the department head and his assistant prompted upper management to change organizational structure, as well as eliminate positions, by use of a RIF.

The above three cases have illustrated how organizational structure can be affected by an employee's behavior. This phenomenon too is missing from traditional management theory.

Proposition 3.6: The identity which an employee brings to his interaction with the organizational structure pressures upper management into ad hoc reactions which affect the accomplishment of organizational goals.

Interaction of Employee With Organizational Policy

The Weberian concept of bureaucracy, with its emphasis on rational and equitable policy and procedures which serve to ensure a predictable response, has become a bulwark of administrative theory. That these same policies and procedures may be dysfunctional or unused in times of crisis has been aptly demonstrated by Allison (1969). Yet the management literature has traditionally neglected to identify how policy can be deliberately subverted or changed by a single non-policy making employee, nor has it shown how

a new or changed policy can dramatically affect one person. This reciprocal policy relationship must also be identified in an Interactive-Holistic theory of person-at-work, and is demonstrated in the cases discussed below.

"The Forger"

This case demonstrates how policy can be subverted by a single employee who disagrees with, or sees no need for a particular policy. In this situation the employee was a Medical Services Rehabilitation Coordinator for a Veterans Hospital who demonstrated the characteristics of a "security person." As a part of his job duties, he was entrusted with keys to the hospital swimming pool which, policy dictated, was reserved for patients in physical therapy. He had received a memorandum authorizing him to admit people to the pool. The memo carried the implicit assumption that other hospital policies would be followed, including the one which specified that only persons with written prescriptions from physicians were allowed in the pool. This is the policy he subverted.

The Coordinator gave some fellow workers pool keys so they could go swimming. When his supervisor found out, the coordinator was called in to explain why a group of employees was using the pool. He responded by saying that

he had authorization to allow pool access. The supervisor then asked to see the swimmers' prescriptions. In response to this request, the coordinator obtained some blank prescription forms, wrote the pool authorizations, and persuaded a nurse to forge a physician's signature. The forgeries were identified as such and the employees terminated.

"The Policy Maker"

In this case a supervisor was terminated for making his own policy regarding the length of time employees were permitted for a break. Agency policy allowed a ten minute break. This supervisor who was a "fulfilled person" gave his staff fifteen minutes.

When questioned as to why he used a different policy than the standard operating one, he replied that the standard policy was not enforced, and produced witnesses to testify that other supervisors also permitted their employees to take fifteen minute breaks.

This example illustrates that policy can be, and is, made by non-policy making employees in the work force.

"The Thief"

This case demonstrates how a simple policy change can dramatically affect an individual employee even one with a "success identity." In this situation a check-out clerk at an army supply center was fired after twenty-four years of service, which included several awards for outstanding performance. Her mistake was to take a \$2.10 bar of soap.

The department head had been concerned for some time over inventory losses which he attributed to pilfering. In order to stop the pilfering, he developed two new policies. The first was that any employee caught pilfering would be terminated. The second policy change, reinforcing the first, was the installation of video cameras in the supply area for the purposes of catching thieves. Pilfering decreased. Then, one day, an old employee needed a bar of soap, forgot the new policy and took it. This one indiscretion cost her her job.

The above three cases have illustrated that interactive effects between employee and organizational policy are a realistic part of organizational life.

Proposition 3.7: The identity which an employee brings to his interaction with organizational policy changes a policy and/or affects the life of the individual employee.

The identity of the person-at-work will as significantly affect and be affected by the organizational environment as the organizational core. This nuance is illustrated in the sections below, beginning with the cultural system.

Interaction of the Employee With the Cultural System

The cultural system is that environment which contains an employee's personal life--family, friends, and activities. Traditional theorists have tended to ignore the potential of an employee's cultural system to influence the organization. They have apparently not seen, as well, that the employee's behavior in the cultural system is influenced by the organization, or that organizational rules and regulations can affect the individual employee, and through him, the cultural system. Three cases serve to illustrate this point:

"The Tax Evader"

In this case, a clerical employee of the Internal Revenue Service, was randomly selected for a tax audit which subsequently revealed that her family taxable income had been understated on her tax returns for the past few years. She was then fired because of the belief that, if the public heard that the IRS knew of, and tolerated, tax evaders as employees, the public would reduce compliance with tax laws. In this case, when the employee, as a member of a cultural system, violated organizational rules for behavior in that cultural system, organizational officials perceived that violation as negatively affecting the organization. The

organizational response to that perception was to terminate the employee. This termination affected the employee's cultural system by withdrawing the employee's source of income.

"The Child Molester"

This is the case of an employee with the behavior of a "symptom person," who was fired because he was charged with sexually molesting his minor daughter. Although the employee insisted that his off-duty conduct had nothing to do with his job performance, and although the charges were subsequently dismissed, his termination was upheld in the appeals process. A large number of his co-workers testified that they would be so uncomfortable in his presence that they could not perform and agency officials insisted that his continued employment would undermine the efficiency of the Federal Service.

This case demonstrates the effect that an employee's behavior within the cultural system can have on the components of the organization which in turn responds to affect the cultural system--in this case, by terminating the employee.

"The Good Father"

Although the previous two cases have been examples in which a "failure identity" has created havoc because of activities within the cultural system, the reader should not be lulled into believing that only "failure identities" demonstrate this phenomenon. That "success identities" can experience cultural system events which affect the organization is illustrated by the case of the good father, as described below.

In this case a window clerk for the post office was terminated due to unsatisfactory attendance, which included frequent tardiness, excessive absences, and sleeping on the job. This occurred after six years of employment in this position during which the man had earned an unblemished record. Investigation revealed that the reasons for the change in his attendance pattern occurred in his cultural system.

This employee's life situation suffered a dramatic shock. His wife left him. A divorce ensued in which the man obtained custody of his two children, ages seven and ten. As a result of the divorce, both children began having academic and emotional problems. Then the employee was in an accident which totaled his car and left him without transportation. Undaunted, he borrowed a friend's car which

proved unreliable. He was subsequently left with no transportation, and the children's problems were escalating. This precipitated his seeking professional counseling. The counselor prescribed tranquilizers which subsequently caused his sleeping on the job. When the employee's domestic situation was finally straightened out--his children adjusted, his car fixed, his tranquilizers stopped--he was able to resume productive employment, and did.

Proposition 3.8: The identity which an employee brings to his interaction with his cultural system affects the accomplishment of organizational goals.

Interaction of Employee With the Task Environment

The concept of "task environment" was first identified by Dill (1958) who defined it as the part of the environment "relevant or potentially relevant to goal setting and goal attainment," which includes customers (or clients), suppliers, competitors, and regulatory groups. While Thompson discusses the interdependence of the organization and its task environment, neither he, nor others, have identified the reciprocal effect that a single employee can have upon or from that environment. The following cases serve to illustrate that this phenomenon also exists as a critical element in a theory of person-at-work.

"The Inspector"

In this case a coal mine inspector who was a "security person" was terminated because of activities which were judged to be a conflict of interest between his responsibility to the organization and his actions toward a component of the task environment. In the course of his inspection duties he had issued citations to a coal company for their violations of federal law. Shortly thereafter, in an unrelated situation, his sons applied for jobs at this same company and were not hired. The Inspector then wrote company officials a letter accusing them of not hiring his sons out of spite for him. The company responded by contacting Bureau of Mines officials with "vulgar and insulting accusations." This prompted the termination of the Inspector whose behavior had created bitter relations between the agency and a member of the task environment.

"The Federal Marshall"

The task environment of the Federal Marshall's service includes that group of persons living in the area under a marshall's jurisdiction and who expect protection from the authority and activities of the service. In this case, a federal marshall with a failure identity abused his authority to affect negatively his organization's task

environment, and then experienced retaliation by that environment.

The marshall had been experiencing domestic problems and his wife started dating another man. When the marshall found out, he went to the boyfriend's home, forced his way in, then struck the man with his gun. After further threats and intimidation, the marshall announced that he was a Federal Marshall investigating drug activities and, as such, could "waste" the man and obtain impunity. The man escaped the aggression of the marshall and reported him. The agency immediately terminated the marshall but the damage to trust and public image could not be rectified.

"The Criticizer"

That a single employee can affect a regulatory agency within an organization's task environment is demonstrated by the behavior of a "fulfilled" Health Sciences Administrator. This employee disagreed with a policy decision made by a department official. When the official remained adamant, the administrator began a campaign to get the decision changed. Using his official position, the administrator prepared letters on departmental stationery which he instructed his secretary to type and mail in franked envelopes to both clients and to the regulatory agency. In

these letters he criticized and distorted the policy and undermined the official who made it. This fostered an inquiry into agency operations and disrupted the agency's equilibrium with its task environment.

These cases suggest that the interdependence of the organization with its task environment is more complex than one would be led to believe by seeing the organization as an interacting entity. Rather, the organization can affect and be affected by the task environment in a way over which the manager has little or no control.

Proposition 3.9: The identity which an employee brings to his interaction with the organization's task environment affects the accomplishment of organizational goals.

Interaction of Employees With the Socio-Economic System

Included within the socio-economic system are wage rates, employment opportunities, and unions. While it is easily recognized that all of these entities will readily influence an organization and the individuals within it, the converse can also be demonstrated as true. A single identity of an employee or group of employees can directly affect the socio-economic system, even as it affects them. The potential ripple effect of this to other systems is demonstrated in the following cases.

"The Air Traffic Controller"

Although the PATCO strike is now history and the effect of this strike on the air lines industry well documented, the dilemma experienced by individual employees in the aftermath of the strike decision has not been considered. Yet this dilemma, the effect of individuals on union activities, and the spillover effects of those activities to other individuals and their families is necessary in a conceptualization of the person-at-work. This case graphically illustrates this network of influences.

A young, "fulfilled," newly hired Air Traffic Controller (ATC) did not support a strike as a means of attempting to coerce the organization, so he and a few friends refused to participate in it. Some of the friends were attacked and beaten by pro-strikers. Their tires were slashed by members of a "dirty-tricks" committee set up to deter anti-strikers from speaking out. While the ATC in this case was attending a meeting to decide how to resist the strike peaceably, his pregnant wife received a threatening phone call. When her husband arrived home, he found her hysterical, with all doors and windows blocked, and holding a ball bat at the ready. Fearful for the life of his unborn child, the ATC reported for strike duty. He was then fired.

This case illustrates how the behavior of members of a component of a segment of the socio-economic system affected the life of one success-identity individual, at the same time they instigated the organizational act of termination. In all of the events surrounding the PATCO strike it is easy to see the complex inter-relatedness of the ripple effects of decisions and actions to all parts of the dynamic system in which a person works.

"Union Demands"

That priorities of specific individuals can influence union demands, which in turn influence the organization, is the subject of a great deal of labor relations research and commentary. That these same demands can also influence other systems which influence the organization and the persons within them needs to be demonstrated here.

More and more federal employees are becoming active in the union activities of the National Federation of Federal Employees (NFFE). As a result of this activity much pressure has been brought upon members of Congress (the Legislative System) to change specific laws affecting the Federal Service. In a response to this pressure, Congress has included among its priorities for 1984-89, the following:

- * Expand the scope of negotiability.
- * Eliminate merit pay and the Senior Executive Service (SES).
- * Reduce the number of political appointments allowed within each agency.
- * Resolve the legal uncertainties of the Pay Comparability Act. (USMSBB, December, 1983).

To speculate on how any of these priorities might affect the individual employee is, of course, an academic exercise. Yet it is easy to guess that the elimination of merit pay could negatively influence productivity, especially in light of an OPM study which identifies merit pay as a potential motivator (MSPB, December, 1983). It is also easy to speculate on the ramification that the elimination of the SES would have on its members. However, the point here has been to demonstrate the reciprocal effect of employee to socio-economic system to employee. Anyone who doubts this effect is referred to the previously discussed case of *Honque vs. Beebe Lumber Company* in which one employee's discharge was deemed to affect the public economy.

Proposition 3.10: The identity which an employee brings to his interaction with the socio-economic system affects the accomplishment of organizational goals.

Political and Legislative Systems

These two systems are discussed together because, in America, they are so intricately intertwined it is difficult to separate them for purposes of discussing reciprocal effect by and with the person-at-work. That groups of employees influence these systems has been amply demonstrated by Lowi (1969) and Bennett and Johnson (1980) in particular. That this effect carries over to the organization has been documented by Niskanen (1971). That this effect is also felt by the individual employee is demonstrated herein, first by the remaining items on the list of Congressional priorities for 1984-1989, as contained in the MSPB FOURTH ANNUAL REPORT (1984) and then by a specific case.

"Congressional Priorities"

Actions Requested by OPM

- * Enact a voucher plan as a part of the Federal Health Benefits System,
- * Amend the retirement benefits system.

Action Requested by Agencies

- * Develop a total compensation package to attract and retain a competent work force.

"The Judge"

In this case an Administrative Law Judge who was a "fulfilled person," was terminated because of the ramifications of the Omnibus Budget Reconciliation Act of 1980 which mandated, among other things, that all beneficiaries of Social Security Disability Benefits be reviewed under more stringent eligibility guidelines than previously. Recipients who did not meet the guidelines were terminated with the right to appeal. These appeals are heard and adjudicated by Administrative Law Judges, who are employees of the Department of Health and Human Services (HHS), which administers the social security program. Because of the Congressional requirement to reduce expenditures through review of disability claimants and case cancellation, HHS was under a court order to increase the speed with which it processed claims and appeals. Thus Administrative Law Judges were required to not only decrease adjudication time, but to increase the rate at which cases were permanently closed and benefits terminated.

The Administrative Law Judge in this case believed it to be a matter of personal ethics that he continue to carefully and thoroughly evaluate each case that appeared before him. This he did, and his decision was frequently in favor of the appellant. After two and one-half years, he

was terminated on the charges that his rate of case closure was only one-half that of the national average, and that this was "unreasonably methodological." Although the judge responded, quite accurately, that he had no control over which cases came before him and that his position required discretion and fairness, his behavior was judged to be misconduct, because of a legislative mandate to reduce the number of beneficiaries which was in response to a political promise to reduce government expenditures.

Thus the events occurring in the political and legislative systems and the existing political philosophy of the times can affect and be affected by individual employees.

Proposition 3.11: The identity which an employee brings to his interaction with the political and legislative systems affects the accomplishment of organizational goals.

Recapitulation

In presenting the conceptualization of the Interactive-Holistic theory of person-at-work, this section has illustrated that no employee stands alone unchanged by events and actions around him. Rather he has an identity type which is a part of a dynamic system of interrelated identities and events which are constantly bombarding and bombarded by other actors and actions, many of which are

unrelated to the world of work, but all of which can and do affect productivity and performance. That this affect can be felt by other employees and their families, by the manager and his family, by the organizational structure and by the myriad of environments surrounding the organization has been demonstrated. To understand and appreciate this interactive process is crucial to visualizing a person-at-work and to accepting the propositions put forth regarding this.

While the examples utilized in the developing of these propositions have all been representative of what has been defined as a "problem employee," it is important to note that these propositions are value neutral. The propositions describe interactions which may have highly favorable results for the effectiveness of the organization, as well as detrimental consequences. The Interactive-Holistic theory of person-at-work recognizes and allows for both positive and negative interactions, i.e., interactions which may contribute to or detract from organizational effectiveness.

The value in this theory lies in its ability to recognize both productive and problem employees as integral components of the world of work and to explain behavior in and around the work place by showing how the identity which

a person brings to his interactions affects the organization. In this way it is possible to identify what causes an employee to act in a way that detracts from organizational effectiveness, i.e., to become a "problem employee."

The Problem Employee

This section incorporates the phenomenon of the problem employee into the Interactive-Holistic theory of person-at-work. Before doing this, it is important to remember that these employees constitute only a small part of the work force. Estimates indicate from only 10 to 20 percent (Hall and Fletcher, 1984 and Schneider, 1979). Yet this same 10 to 20 percent may require over 90 percent of a supervisor's time. For this reason their inclusion in the theory is a significant element.

To say that few people are hired who are unable to perform the job may be to state the obvious, for with the elaborate selection procedures in the federal service, and in most private sector organizations, it seems apparent that newly hired employees are capable and that expectations for acceptable levels of productivity are realistic. The probation period is a built-in control for removing the incompetent, but problem behavior, unrelated to

incompetence, apparently erupts or evolves after a period of time as an "identity response" to a life or job crisis. ("Identity response" refers to the typical behavior exhibited by people with a particular identity.) Thus it often takes the manager unawares.

To alert the reader to behavior exhibited by the problem employees in the MSPB cases reviewed for this research, this section presents a summary of their presenting problems by identity type.⁵ It is interesting, though not surprising, that among the problem employees studied, 77 percent demonstrated characteristics of a "failure identity," with 75 percent of the "failure identities" presenting themselves as a "symptom person." Specific problems, as typified by identity type are shown in Tables 1, 2, and 3.

These tables demonstrate the dramatic difference in the problems exhibited by the different identities. As might be expected, "failure identities" have a much higher rate of absenteeism than do "success identities," although, in those cases, not a single "give-up" person had an attendance problem. This may be because of their 83% tendency to

⁵ To construct this summary, a list of the behaviors unique to each identity type, as described by William Glasser (1965 and 1975) and discussed on pages 74-79 of this dissertation, was used. When a set of behaviors unique to a particular identity type were evident, the person(s) in the case were considered to possess that identity.

TABLE 1

*Per Cent of Attendance Problems By Identity

PROBLEM	IDENTITY				
	NEGATIVE ADDICT	SYMPTOM	GIVE UP	SECURITY	FULFILLED
TARDINESS	17%	20%	0	9%	25%
UNEXPLAINED ABSENCES	50%	34%	0	9%	0
ABSENT AT CRITICAL TIMES	50%	34%	0	27%	25%

*Per cents do not total 100 per cent because most problem employees exhibit more than one problem.

TABLE 2

*Per Cent of Behavioral Problems By Identity

PROBLEM	IDENTITY				
	NEGATIVE ADDICT	SYMPTOM	GIVE UP	SURVIVAL	FULFILLED
EMPLOYEE LIES	17%	35%	50%	18%	0%
EMPLOYEE WITHDRAWS	17%	26%	50%	18%	0%
EMPLOYEE COMPLAINS OF PCOR HEALTH	33%	9%	17%	18%	0%
EMPLOYEE EXAGGERATES WORK ACCOM- PLISHMENTS	17%	37%	83%	9%	0%
EMPLOYEE IS BELLI- GERENT	33%	46%	17%	0%	0%
EMPLOYEE IS AGGRES- SIVE	17%	51%	0%	9%	0%
EMPLOYEE FALSIFIES RECORDS	33%	17%	17%	36%	0%
EMPLOYEE COMES TO WORK DRUNK	50%	3%	0%	0%	0%
EMPLOYEE TAKING DRUGS	67%	0%	0%	0%	0%

*Per cents do not total 100 per cent because most problem employees exhibit more than one problem.

TABLE 3

*Per Cent of Job Performance Problems By Identity

PROBLEM	IDENTITY				
	NEGATIVE ADDICT	SYMPTOM	GIVE UP	SURVIVAL	FULFILLED
MISSED DEADLINES	33%	43%	33%	27%	50%
FREQUENT MISTAKES	33%	40%	67%	27%	0%
DISREGARD FOR POLICIES & PROCEDURES	33%	63%	67%	82%	50%
GENERAL PERFORMANCE DETERIORATION	67%	63%	83%	36%	75%

*Per cents do not total 100 per cent because most problem employees exhibit more than one problem.

exaggerate work accomplishments (see Table 4). Certainly, if one is present at work all the time, it is more difficult for a supervisor to prove that work is not being accomplished.

Although a number of behavioral problems were exhibited by the problem employees in the cases studied (see Table 3), it is interesting to note that not a single "fulfilled person" exhibited intolerable behavior in the work place. While the "negative addicts" were more likely to be drunk or using drugs, the "symptom" and "give-up" identities seem to have presented the most problems to the supervisor. However, the different identity approaches to coping is interesting to note. While 37 percent of the "symptom" identities and 83 percent of the "give-up" exaggerated their work accomplishments, their reactions to criticism were diametrically opposed. This is illustrated by the fact that 51 percent of the "symptom persons" responded to criticism with aggression, while none of the "give-up" identities did. On the other hand, 50 percent of the "give-up" people withdrew, as a response to criticism, while only 26% of the symptom people did. These differing behavioral responses underscore the importance of including the individual identity in any theory of person-at-work, and dramatically illustrates why the existing conjectures and prescriptions

discussed in Chapter 2 fall short of theoretical status and fail to explain the problem employee as a member of the work force.

This is not to say that "success" identities never have, or are, problems. In fact, as shown in Table 4, 75 percent of the success identities evident in the cases studied, exhibited performance deterioration. Although they did not make mistakes in the work they did, the quantity of work had decreased: 50 percent missed deadlines, and 50 percent violated some policy with which they disagreed. As shown in Table 4, "success" identities in these cases seemed more likely to have personal troubles, and, in fact, 75 percent of their job performance deterioration and 100 percent of their attendance problems were directly related to a personal crisis.

Proposition 3.12: Within the organization, problem employee behavior occurs as an identity response to a life or job crisis.

In order to understand how the problem employee fits into the work place, it is also important to consider relationships with co-workers. As shown in Table 5, the only negative effect created by the success identity was to inspire co-workers to cover for them. Co-workers were much more likely to complain about the "negative addicts" and "symptom" persons, while the "give-up" person was more

TABLE 4

*Per Cent of Personal Troubles By Identity

TROUBLE	IDENTITY				
	NEGATIVE ADDICT	SYMPTOM	GIVE UP	SURVIVAL	FULFILLED
LEGAL	33%	14%	17%	9%	25%
ACCIDENTS	17%	3%	0%	0%	25%
DOMESTIC CRISIS	0%	20%	0%	9%	25%
SEXUAL MISCONDUCT	0%	11%	0%	0%	0%

*Per cents do not total 100 per cent because not all employees had identifiable personal troubles.

likely to avoid fellow employees. These phenomena illustrate how the behavior of a problem employee can negatively affect a work group and detract from over-all organizational productivity.

Johnson (1975) has aptly demonstrated how one negative person in a group can turn the whole group sour. Inappropriate behavior can be contagious, and often co-workers can get drawn into covering for the problem employee, or into trying to "help" to the subversion of their own best interests, thus making themselves problem employees from the manager's perspective. Why they do this can also be explained by their identities, as shown in Table 6.

"Fulfilled" persons are much more likely to try to assist co-workers in trouble than are any other group. This is not only because of their self-confidence and propensity to cooperate, but because they are the persons to whom a person in trouble is more likely to turn. The "dysfunction" in this situation arises when the "success" identities misjudge the seriousness of the problem for which assistance is sought, or mistakenly view the help-seeking co-worker as like themselves and capable of rational problem-solving behavior. For, despite their personal strengths, "fulfilled" persons are capable of poor judgment.

TABLE 5

*Per Cent of Problem Employees Who Negatively Impacted Co-workers By Identity

	IDENTITY				
	NEGATIVE ADDICT	SYMPTOM	GIVE UP	SURVIVAL	FULFILLED
NEGATIVE IMPACT					
EMPLOYEE AVOIDS CO-WORKERS	17%	26%	50%	18%	0%
EMPLOYEE IMPOSES ON CO-WORKERS	17%	17%	0%	36%	0%
CO-WORKERS COVER FOR	17%	17%	0%	36%	50%
CO-WORKERS COMPLAIN ABOUT EMPLOYEE BEHAVIOR	67%	57%	17%	18%	0%

*Per cents do not total 100 per cent because not all problem employees are in a dysfunctional relationship with co-workers.

TABLE 6

*Per Cent of Problem Employees Who Became Problems By Trying
To Help A Fellow Employee By Identity

	IDENTITY				
	NEGATIVE ADDICT	SYMPTOM	GIVE UP	SURVIVAL	FULFILLED
HELPERS	0	9%	0	36%	83%

*Per cents do not total 100 per cent because not all
problem employees are in a dysfunctional relationship
with co-workers.

Proposition 3.13: Within the organization, the behavior of a problem employee will negatively affect other members of the work group.

Proposition 3.14: Within the organization, members of a work group which contains a problem employee will react with an identity response to the problem employee's behavior.

When a work group is composed of more than one "failure identity," negative effects can multiply exponentially. The "failure identities" have a propensity to distort the reality which "cannot be wished away," and to express it as something they must fight or withdraw from, rather than something with which they must cope or adjust. A "success identity" in this situation will likely view these "failure identities" as helpless victims of an irascible manager or a repressive organization and set out to assist them in their fight, never realizing that the problem is with identity, and not one that can be rectified with traditional actions available to the success oriented. While this phenomenon was not evidenced in the individual, sanitized cases available from the MSPB, the researcher has experienced it as a fatal combination which can wreak havoc in the work place.

In that experience, a five person work group was composed of two "fulfilled persons," a "security person," a "give-up person," and a "symptom person." The supervisor in the group was one of the "fulfilled persons." The

incidents, which demonstrate the kind of havoc this combination can create, occurred over a four month period.

As a part of her job description, the "symptom person" was required to plan and coordinate a summer conference. She and her supervisor discussed this in February and she was requested to present a plan and budget by the end of March. By April, she had not complied with the request. In the meantime, her daily performance was inadequate, partly due to excessive and frequent tardiness and leaving the job early. She had also failed to verify eligibility for cases she had approved for service and a routine audit revealed that she had thereby approved many ineligible clients, thus jeopardizing continued receipt of federal funds. When her supervisor attempted to discuss these matters with her, her "symptom person" identity responded as follows.

She burst into tears, accused the supervisor of picking on her, taking her job, and trying to get rid of her, then abruptly left the room, slamming the door. Within the next few days, she communicated with each of her fellow employees in an apparent effort to build a coalition against the supervisor. The identity response of each of her fellow employees exacerbated the situation.

The "fulfilled person" empathized, then explained her rights as an employee if she believed she was experiencing

retaliation or discrimination, and helped her compose a memorandum of complaint to be sent to her supervisor's superior. The "fulfilled person" then went to the supervisor, sympathized with her, and suggested she seek advice on what to do from the Personnel Office and/or the agency's attorney. The "fulfilled person" offered her assistance to the supervisor, and then went to the supervisor's superior to explain that the work group was experiencing problems, that he would soon be getting a memorandum from one of the employees, and that the supervisor was consulting the Personnel Office. This all occurred before the supervisor had an opportunity to meet with him. He responded by asking each member of the work group for a secret evaluation of the supervisor, and asked the supervisor to keep detailed documentation of the "symptom person's" behavior.

In the meantime, the "symptom person" had also told her story to the "give-up person" and the "security person." The "give-up person" responded in several ways. She advised the "symptom person" to avoid and ignore the supervisor. She then broke out in a rash, and when the supervisor sympathized, she started crying and said she would be taking sick leave for the rest of the day. When she returned to the office, she did not speak to the supervisor, but spent

several hours of each day closeted with the "symptom person" and initiated secret meetings with the superior.

In the meantime, the "security person" in the office, nearly became a scapegoat. He alone of the four seemed to realize that the functions of the organization must continue. So, quietly, he started coming in early and staying late so that he could accomplish both his work and that of the "symptom and give-up persons." In six weeks time, he earned eighteen days of compensatory time. For this, he was accused by the "symptom person" as guilty of racial prejudice.

Through all this, the supervisor was meeting regularly with her superior, not knowing about the secret evaluations he had requested. He advised her to seek the advice of the agency's attorney. An appointment was made for the following week. The supervisor recorded the appointment on her calendar. When she left the office to keep the appointment, the "symptom person" searched her desk. Seeing that the supervisor was meeting with an attorney, the "symptom person" immediately went to the superior's office to insist that he stop the meeting.

His response to this was to instruct the supervisor to stop all documentation and to do nothing to offend the "symptom person."

The "symptom person" continued her behavior. She arrived late and left early. While she was at work, she consistently made mistakes and made and implemented policy which was contrary to the philosophy of the agency, and, in one instance, in violation of federal guidelines. She continued to avoid, or ignore her supervisor. After about two weeks of this, the supervisor said, "We have to talk." The "symptom person's" response was to physically assault the supervisor.

At this time, the superior was out of town, so the supervisor went to his superior for advice and was told to immediately institute disciplinary action, which she did. Two days later the superior returned and learned of the incident. He immediately instructed the supervisor to rescind the disciplinary action.

At this point, the supervisor consulted her own attorney who advised her to take all her annual leave and to consider filing a reverse discrimination law suit. However, when the supervisor returned to work, the "symptom person" had resigned. The supervisor went about reconstructing the organization.

Proposition 3.15: When a work group is composed of more than one "failure identity," negative effects on the organization will multiply exponentially.

SUMMARY

This chapter has presented the Interactive-Holistic Theory of the person-at-work which has been developed inductively and which explains the occurrence of the problem employee through the following set of interrelated propositions:

Proposition 3.1: Behavior in the work place is affected by the employee's interaction with all of the systems of which he is a part, only one of which is the organization.

Proposition 3.2: Within the organization, the identity of any given employee shapes or reshapes all the components of the organizational system.

Proposition 3.3: Within the organization, the identity which an employee brings to his interactions with other employees affects their attitudes and behavior.

Proposition 3.4: Within the organization, the identity which an employee brings to his interaction with his supervisor affects the supervisor's ability to facilitate goal accomplishment.

Proposition 3.5: The identity which an employee brings to his interaction with the organization's core technology affects the accomplishment of organizational goals.

Proposition 3.6: The identity which an employee brings to his interaction with the organizational structure pressures upper management into ad hoc reactions which affect the accomplishment of organizational goals.

Proposition 3.7: The identity which an employee brings to his interaction with organizational policy changes a policy and/or affects the life of the individual employee.

Proposition 3.8: The identity which an employee brings to his interaction with his cultural system affects the accomplishment of organizational goals.

Proposition 3.9: The identity which an employee brings to his interaction with the organization's task environment affects the accomplishment of organizational goals.

Proposition 3.10: The identity which an employee brings to his interaction with the socio-economic system affects the accomplishment of organizational goals.

Proposition 3.11: The identity which an employee brings to his interaction with the political and legislative systems affects the accomplishment of organizational goals.

Proposition 3.12: Within the organization, problem employee behavior occurs as an identity response to a life or job crisis.

Proposition 3.13: Within the organization, the behavior of a problem employee will negatively affect other members of the work group.

Proposition 3.14: Within the organization, members of a work group which contains a problem employee will react with an identity response to the problem employee's behavior.

Proposition 3.15: When a work group is composed of more than one "failure identity," negative effects on the organization will multiply exponentially.

By doing so, this theory demonstrates that no employee can be considered as an isolated entity which sheds environmental influences when entering the organizational setting and which is immune to the impingement of environmental forces on productivity. The theory also illustrates how the employee counters the forces which bombard with survival behaviors which are rooted in a personal identity. This identity will be success or failure oriented depending on a person's need fulfilling mechanisms which are developed and ingrained outside the world of work. To see the person-at-work in this context is to allow for, and, indeed, expect, the existence of the problem employee

in the work force. Once this is put in perspective, it is possible to address the second goal of this research, which is to determine if management intervention with problem employees is feasible.

The next chapter will explore current ways of dealing with problem employees and critique their strengths and weaknesses. It will conclude with a discussion of the viability of Reality Therapy in the form of BPM as an effective prevention and intervention.

Chapter IV

DEALING WITH THE PROBLEM EMPLOYEE: REALITY THERAPY VS. OTHER METHODS

In introducing the Interactive-Holistic Theory of person-at-work, the previous chapter has identified the dynamic interactions which take place in and around the organization. These interactions involve all employees, including the supervisor and upper levels of management and may be conducive to the accomplishment of organizational goals or may be a deterrent to that accomplishment. When the interactions are a deterrent, the manager is hard-pressed to know what to do to facilitate, or return, the organization to continued organizational effectiveness. This is partly because typical management training is designed to prepare supervisors to deal with the 80 to 90 per cent of the work force who are not problem employees. Techniques which are effective for dealing with employees capable of resolving their own problems are simply not adequate when applied to the employee whose behavior is detracting from organizational goal accomplishment ("Implementation," 1975).

As was explained in Chapter 2, there is little in the academic literature to provide a guide for action. What little there is may lack value because it does not recognize

the possible identity responses which precipitate the problem nor how those identity responses can affect a manager's trying to resolve the problem. Thus, this chapter will explore, in depth, current methods of dealing with the problem employee and identify predictable identity responses to those methods. Because, at this time, the only formalized method of dealing with the problem employee is the Employee Assistance Program (EAP), considerable will be devoted to presenting and critiquing this model before an alternative in the form of Reality Therapy is introduced. In keeping with the format used in Chapter III, after each method is discussed, a proposition regarding that method will be offered.

TRADITIONAL MANAGEMENT STRATEGIES AND TACTICS

Strategies for dealing with the problem employee have typically been divided into those designed to prevent problem behavior from occurring and those designed to control (or eliminate) problem behavior after it has been recognized. "Prevention strategies" are those which permeate the human relations school and can be identified in any good text on organization behavior (e.g., Robbins, 1984). These strategies include any or all of the theories in communication, group dynamics, job design, job

enrichment, leadership, motivation and organization design. "Control strategies," on the other hand, are often a frustration response by a manager who, disillusioned because the prevention strategies have failed, resorts to drastic efforts to repress or eliminate the problem. This prevention-control dichotomy is analogous to Herzberg's positive and negative KITA,⁶ a reasoned carrot vs. stick maneuver, which somehow "ought" to work.

Tactics which have been proliferated by these strategies are the stuff of which traditional courses in personnel, organizational dynamics and planned change are made. Here the fledgling manager memorizes, and often selects, the tactics which he will utilize in the world of work. Here he assesses his own management style and appraises the value of Theory X vs. Theory Y, usually choosing Theory Y because of the belief currently permeating management theory that work truly is as natural as play and that when people are matched through selection and training to their jobs and given the tools they need to perform, productivity will result. When it does not, "the majority of employers use ultradisciplinary means to cope" (Shain and Groeneveld, 1980).⁷ If this sounds like oversimplification

⁶ Herzberg uses the acronym "KITA" to refer to the proverbial "kick in the ass."

⁷ These ultradisciplinary methods include formal reprimand,

it is meant to, for the point here is not that traditional strategies and tactics do not work. The point is that they only work 80 to 90 percent of the time - with those employees who can not be classified as problem employees.

Thus the strength of traditional theory is that it is, and has been demonstrated to be, effective - most of the time. One of its weakness lies in its failure to recognize the differing identities which are brought into the world of work and which dictate an employee's response to, not only management action, but to any life or job crisis which may occur externally to any area over which a manager has control or even discretion.

That employee responses do occur is probably why Foffer (1983) has provided a description of the stages a manager passes through when confronted with the reality of a problem employee. Although these stages have been itemized in Chapter 2, they are being reiterated here for purposes of demonstrating the essential weakness of traditional management strategies. That weakness is that, in the case of the employee with a failure identity, they simply do not work! Thus the manager can be expected to pass through the following stages:

short suspension, extended suspension, and termination. To illustrate the structure and complexity of such methods, a copy of an instructional memo circulated to federal agency heads is included in Appendix C.

* "Praying-for-a-Miracle" will be the first stage a manager encounters when confronted with the failure identity. By this time the manager will have accepted that the prevailing literature offers no guidelines for motivating or leading this type employee. This places the manager in the proverbial "Catch-22." If he does not confront non-productivity excessive absenteeism, insubordination, and/or the negative influence of the failure identity on the work unit, morale of himself and of other employees deteriorates. If he does confront it, the response of the failure identity can permeate the entire organization.

The "negative addict" will likely say, or do, little in the supervisor's presence, then immediately seek relief in drugs or alcohol, as is his wont. This can worsen this employee's effect on the rest of the work unit and, if the employee appears in the work place intoxicated, may induce other employees to cover for him, and if they don't, may precipitate an accident or a break down in the organization's core-technology. Recognizing this potential, the supervisor may see praying for a miracle as the most viable choice.

The "symptom person" will respond to management overtures with tears or obscenities or outrage. He or

she may verbally or physically attack the manager, then turn to co-workers for support against the manager. This person may resort to "whistle-blowing," reporting real, or imagined, indiscretions in a child-like appeal to authority for support.⁶ The diversionary tactics utilized by the symptom person may so obfuscate the issue that the supervisor may begin to suspect that the solution requires more effort than does dealing with the problem employee. Thus he prays for a miracle.

The "give-up" person may be the least difficult failure identity with which to deal. However, these identities have their own set of tricks for manipulating the manager. They are the ones most likely to play on his sympathies and in a subtle way shift the responsibility for the solution to any problems from themselves to the manager, because they are likely to portray themselves as helpless victims in need of a savior. Again, the manager prays for a miracle--on his behalf and theirs. In point of fact,

⁶ This is not to negate the value of whistle-blowing, but to point out that not all whistle-blowers are sincerely motivated by a desire to correct wrong doing. Elliston (1982) found that employees who "blow the whistle" on their supervisors elicit far different consequences than do other complainants, and Micelli and Near (1984) view whistle-blowing as a part of organizational politics. Thus the assertion that whistle-blowing can be the instrument by which a symptom person retaliates seems reasonable.

miracles rarely happen. None have been documented as occurring in organizations. When the manager finally accepts this, he moves to the next stage in dealing with a problem employee--"reason will prevail."

* "Reason Will Prevail" is the stage during which the manager attempts heart-to-heart talks with the problem employee. Unfortunately, such rationalism is of no avail either. The failure identity will respond to this effort with "I don't know what you're talking about," or "What's your problem?" They will express indignation, disbelief, and hostility. They may tell co-workers that the manager is prejudiced, or jealous, or threatened. They will likely challenge the supervisor's motives, credibility, competence, and sanity. For the failure identity is not one that responds to reason. When the manager realizes this, he will move to the next predictable stage--pleading.

* "Pleading stage" is the phase during which a manager randomly begs, cajoles, and threatens. By this time, the manager will have begun to doubt himself. He may start reading self-help books, compiling a dossier of previous accomplishments or accolades, enroll in a refresher course, or become obsessed with proving himself in ways not job-related. While still trying to

accomplish the organizational goals, he may begin to keep diaries and detailed records in a compulsive effort to justify himself. He will probably begin to look for another job. Then, finally, he will move on to the "bleeding stage."

* The "bleeding stage" is the point at which the manager initiates disciplinary action. He has moved from prevention strategies through a difficult self-assessment and soul searching to the willingness to take whatever action will eliminate the problem. Though he will probably be angry at himself and may feel like a personal failure, he is finally ready to admit that the problem is more than he can handle and to get rid of it, or pass it on.⁹

Living through these stages is not an easy task. That conventional theory forces the manager into this process is no compliment to it. Delaney's (1984) assurance that a manager can expect a 100 percent failure rate in dealing with the problem employee is cold comfort.

⁹ These remarks are corroborated by the work of Trice and Roman (1972 and 1978) and of Phillips and Alder (1977). The observations of Phillips are particularly cogent. In his role of Manager of the Alcohol and Drug Abuse Program for the U.S. Office of Personnel Management, he found that the emotions experienced by the supervisor of a problem employee parallel those experienced by an alcoholic. They run the gamut from denial through guilt, inadequacy, and fear.

Proposition 4.1: Traditional management practices are not effective for dealing with a problem employee.

Thus the manager has turned to resources outside himself for help. The resource most frequently used is the Employee Assistance Program which has been offered as a potent nostrum by human relations practitioners (Feinstein and Brown, 1982). The next section defines and discusses the EAP and critiques its strength and weaknesses.

THE EMPLOYEE ASSISTANCE PROGRAM (EAP)

No one conception of the EAP exists. Rather EAP's have been described variously as:

a counseling service provided directly for employees and their dependents..." (Feinstein and Brown, 1982).

the policies and procedures adapted by employees in order to identify problem employees (Shain and Groeneveld, 1980).

a generic term denoting more or less structured programs that utilize technical, administrative, and professional human services and personnel people...to meet the needs of troubled employees (Myers, 1984).

Whatever definition one accepts, it is clear that the EAP is an adjunct service to management which carries the implicit assumption that the EAP is more effective and efficient in dealing with problem employees than is a purely disciplinary method. It is naive, however, to deny the

disciplinary nature of an EAP referral. EAPs also carry an element of discipline, in that the problem employee is generally "coerced" into participation by threat of dismissal if he refuses (Shain and Groeneveld, 1980).

All EAP's share the following goals.

- To identify employees whose personal or health problems may be interfering with job performance
- To motivate those individuals to seek and accept appropriate help
- To address underlying stressors in the work place
- To assist employees and employers in achieving health and productivity (Feinstein and Brown, 1982).

The typical host for an EAP has been the large corporation with thousands of employees. Shain and Groeneveld (1980) believe this to be because the bureaucratic structure of a large corporation lends itself to formal procedures and control mechanisms, and that such perfunctory routines are compatible with the structure and recommended procedures inherent in EAP operation.

The complexity of the EAP is evident in Shain and Groeneveld's (1980) "ideal model"¹⁰ which is presented in Table 7. To develop their "ideal model," They synthesized

¹⁰ The term "model" is used in the literature on Employee Assistance Programs as a synonym for the type of EAP that is being discussed.

from the EAPs developed by the National Council on Alcoholism and the National Institute on Alcohol Abuse and Alcoholism which have been endorsed by 70 percent of the consultants employed by the Addiction Research Foundation. The elements of the ideal EAP are presented in terms of events that must take place to establish an EAP and in terms of necessary attitudes on the part of both management and employees. In this "ideal" type, it should be noted that the goal of the EAP consultant "is to locate an EAP in any industry which is prepared to develop basic procedures, namely documentation, coercion, referral, and sometimes follow up" (Shain and Groeneveld, 1980). Thus, to establish and maintain an EAP requires a complex series of events and a number of committed people.

In presenting their "ideal model," Shain and Groeneveld (1980) are being as much prescriptive as they are descriptive. For very few of the existent EAP's exhibit the characteristics of the "ideal." Rather, they seem to fall on a continuum from the simple to the complex, with the "ideal model" being the complex. Myers (1984) describes this continuum by presenting an "External-Internal" typology of five basic EAP models. External models include the Hot-Line, the Consortium, and a Contractor. Internal models include the Employer and the Union. Each of these types is described below.

TABLE 7

Hypothesized Key Elements and Their Implementation: The Ideal Model

	<u>EAP Goals/Imperatives</u>	<u>Related EAP Activities Methods</u>	<u>Required Organizational Orientation, Conditions</u>	<u>Necessary EAP Consulting Skills</u>
Written Policy Re Joint Development and Promulgation (where union exists)	A written policy governing the management of problem employees, including rights and duties of employer and employee should be jointly developed by management and union.	1.Management/union committee must be struck. 2.Joint statement must be issued. 3.Joint procedures must be established.	History of good management/union relations must exist.	Ability to recognize when union/management relations are within reach of the EAP goal.
Prerequisite Attitudes	The employee who demonstrates problems with job performance or work-related behavior must be recognized as potentially suffering from a variety of mental, physical, behavioral, or social problems.	Where relevant, insurance coverage should be obtained for the treatment of alcoholism, drug abuse, mental illness, disturbance, and so on.	Key executives and union officials must recognize that a wide range of mental, physical, behavioral, and social problems can be remedied or alleviated. Human-relations style detectable in some coherent if not consistent form.	Knowledge of programs aimed at remediation or alleviation of the noted range of problems. Belief that they can be effective. Access to persuasive techniques. Credibility with industry.
Early Identification	Such problem employees should be identified as soon as possible.	Case findings and referral by organizational identifiers, usually supervisors, or other formally designated persons.	1.Economic foresight or vision. 2.Supervisors are held accountable for observation and documentation of deteriorating work performance.	1.Awareness of the economic realities of the work-place and understanding of cost-effective accounting. 2.Ability to recognize when an organization is within reach of this level of functioning.
Skills of Identifiers	The identifiers should know what to do and when to do it.	Supervisors and union officials must be trained in skills of documentation, confrontation, referral, and followup.	Organization must have a training function, service, or department.	Knowledge of techniques of communication and of content area sufficient to conduct training if requested
Support for Identifiers	Management and union must support the identifiers.	Written guidelines must be developed which make identification of problem employees part of the identifier's job description.	1.Written job descriptions and performance reviews must be normative. 2.Discretionary power of line supervisors must be recognized and valued.	Ability to recognize organizational signs which indicate that control and communication functions are compatible or within reach of compatibility with EAP goals. Skills of organizational diagnosis and consultation are involved.
Identification Keyed to Job Performance	Legitimate signs of problem behavior are only those related to work performance.	Supervisors must be trained to keep good records of job performance.	1.Personnel recordkeeping must be geared toward identification of deteriorating job performance. 2.Span of supervisory control must permit attainment of this objective.	1.Ability to comprehend record-keeping systems and make recommendations for change. 2.Organizational diagnosis, as outlined relative to support.
Choice of Treatment or Risk of Discipline	Treatment alternative to discipline must be clearly spelled out and made credible and visible.	Routes into treatment (medical or psychosocial) must be established. Key role for coordination of referral and treatment must be created.	History of functional management must exist, or the precedent must be established (far more difficult). Human-relations ideology must be detectable at senior levels.	1.Ability to recognize dead ends: it is probably too ambitious to expect conversion to functional management where no precedent exists. 2.Knowledge of various models for cutting in the treatment alternative into disciplinary model. 3.Understanding of discipline and grievance procedures of client organization.

TABLE 7 (cont.)

Hypothesized Key Elements and Their Implementation: The Ideal Model

	EAP Goals/Imperatives	Related EAP Activities/Methods	Required Organizational Orientation, Conditions	Necessary EAP Consulting Skills
Self-Recognition and Referral	Self-recognition of impending job crisis is better than management-induced crisis.	Pathways to care must be publicized, credible, and visible.	Reputation of treatment program must be established with regard to effectiveness and trustworthiness.	1. Public relations work with respect to treatment agencies in the community. 2. Persuasion of client organization to launch publicity campaign.
Crisis Induction Through Mandatory Referral	Failing self-recognition, a crisis must be induced in the problem employee's life through threat of job or status loss.	Skills of constructive confrontation and coercion must be introduced.	Job performance evaluation of supervisors must include skills of constructive coercion and confrontation. Supervisors must feel supported in their confrontive, coercive roles. (support)	Ability to demonstrate alternative methods of performance evaluation in promising situations (in organizations within reach of compatibility with EAP).
Availability of Treatment	Treatment facilities must exist and be available.	Treatment facilities must be located and agreement to admit referred employees secured.	History of involvement in community affairs might extend to active development of treatment facilities in some cases.	Knowledge of available resources and ability to establish liaison between key coordinator and such resources.
Nondiscrimination	All employees should be eligible for and subject to company policy coverage.	Policy terms must explicitly relate to blue- and white-collar workers, men and women.	A history of nondiscrimination must be demonstrable.	Recognition of limitations of this philosophy in specific situations.
Employee Education	All employees should know the terms and benefits of the policy.	The policy's terms must be disseminated to all employees.	Mechanism for credible, direct contact between management, union, and employee must exist.	Facilitation of employee education campaign. Ability to recognize organizational limitations with regard to dissemination of information.
Benefits Coverage	Clearly stated benefits must exist for problem employees.	Package must be examined for coverage of alcoholism and other problems related mental health and revised if necessary.	Broad sense of social responsibility or long-range economic vision must be detectable at senior levels.	Ability to demonstrate the favorable relationship of program costs to program benefits in terms of absenteeism, accidents, and productivity.
Protection of Reputation	Employees' reputation must be protected if treatment route is chosen.	Records of treatment and background to the problem must be confidential.	Key coordinator or designated official should be responsible for the safekeeping and release of information.	Should be able to advise on systems of confidentiality used elsewhere.
Guarantee of Clean Slate	Employee participation in the assistance program must not jeopardize future career opportunities after successful completion of the program.	Provision must be made to protect career opportunities in the policy itself.	Joint management/union committee should act as an appeal board in cases of complaints about career blocking.	Familiarity with recorded cases in arbitration where this has been an issue.
Program Monitoring and Accountability	Operation of the program must be recorded for progress reports and accountability of responsible personnel.	Monitoring function must be introduced.	1. Recognition of the need for monitoring must exist. 2. Mechanism for monitoring must exist.	Knowledge of monitoring systems or resources which can advise.
Followup	Followup component to treatment/management program must exist.	Supervisors/union need to be persuaded of the importance of continuity and reinforcement.	Stability of supervisory work force, permitting continuity of treatment.	Persuasiveness. Knowledge of management systems in which such continuity can be maintained.

Hot-Line

The hot-line is either a local, or long distance telephone service available as a self referral mechanism for troubled employees. Listeners are trained to assess problems, offer advice and make a referral to an appropriate service provider which the caller is urged to contact. Supervisors are available in the hot-line office to assist listeners with referral information. In crisis cases, hot-line staff may become actively involved in arrangements to transport the caller to appropriate long-term service providers. Elaborate records are maintained on all activities, and summary reports may be forwarded to the sponsoring organization.

Consortium

A consortium is a not-for-profit organization which meets the needs of small employers because it is set up to serve a number of organizations, and, often, the general public, as well. Fees are charged on a per client basis, but additional funding for consortiums may be in the form of a government grant, allowing a sliding scale for charges based on ability-to-pay. The term "consortium" comes from the group of organizations who join to insure service provision, not from the structure of the service provider.

Contractor

A contractor is different from a consortium in that a contractor is a for-profit agency which is paid by the contracting organization for serving problem employees who may contact the contractor in a self-referral, but who will, more likely, be referred as a management response to problem behavior on the job. Although some contractors are retained to provide only substance abuse services, an arrangement with contractors is likely to include a system for providing preventative educational information as well as counseling for marital, legal, and financial problems. This type of an EAP more nearly constitutes Shain and Groeneveld's (1980) "ideal."

The Employer

An EAP provided by the employer on the job site also has the potential for containing the elements of the "ideal" model. While some employers may provide only a single counselor, many have a highly structured in-house program which is headed by an administrator who coordinates a group of counselors, and which usually offers prevention services as well as treatment.

The Union

Programs sponsored by unions generally evolve from a concern to protect union members and may be as simple as peer counseling or as elaborate as the "ideal" type. They may be union sponsored and operated or they may be planned and coordinated by union officials with top management as a part of a wage and benefit package. Whatever the reason for beginning, once developed the Union sponsored EAP frequently follows the "contractor" approach.

Despite their elaborate structure, EAP's are not necessarily effective. Their complexity is such that any number of factors can affect their effectiveness. Myers (1984) categorizes these factors into two groups: human factors and program management factors. These factors are shown in table 8, and discussed below.

FACTORS AFFECTING EAP EFFECTIVENESS

Human Factors

Human factors are those behaviors or situations which are brought about by some member of the organization or of the EAP hierarchy. They include:

TABLE 8

Two Factors Affecting EAP Effectiveness

HUMAN	PROGRAM MANAGEMENT
Access ease	Confrontation support
Anonymity	Continual interviewing
Confidentiality	Custom design
Counselor advocacy	Economics
Employee acceptance	Flexibility
Manager acceptance	Full-time
Privacy	Internal communications
Problem managers	Interest conflicts
Union cooperation	Liability
	Management control
	Organization knowledge
	Preventive aspects
	Procedural interface
	Professional counsel
	Professional services
	Termination

Myers (1984)

Access ease

Access ease refers to the availability of the EAP. Access can be constrained by encumbering policies and procedures or by location of the EAP site. Yet, if an employee cannot get access to the EAP, it can be of no help.

Anonymity

Anonymity refers to the confidentiality with which an employee and his problem is treated. The concept of anonymity places its own constraint on "access ease," for, certainly, an EAP located on the organization's premises is easily accessible. An employee entering the offices known to house the EAP, however, can be identified by other employees as seeking help. Ease of access can thus destroy anonymity. EAP planners must take this phenomenon into account and attempt to balance the two.

Confidentiality

Confidentiality refers to the manner in which counselors affiliated with an EAP deal with the information they obtain from a client with whom they are working. Confidentiality differs from anonymity in that anonymity refers to whether, or not, others know if an employee is participating in an EAP. Confidentiality refers to how

information gained by client participation is handled by the EAP.

Counselor advocacy

Counselor advocacy refers to the counselor's responsibility to insure that clients are not treated unfairly on the job site and that the client's rights are protected. Again a fine line exists. Too blatant an advocate may violate anonymity and confidentiality. Lack of advocacy, on the other hand, may deprive the client of a service or opportunity he desperately needs.

Employee acceptance

To be accepted by employees, the EAP must be viewed as a legitimate and confidential source of help. Acceptance may be contingent upon the members of the EAP having a history of maintaining anonymity and confidentiality and a perception that EAP counselors are competent. This is, of course, a "Catch-22." Counselors who have maintained confidentiality will be unable to demonstrate competency as their only witnesses must remain anonymous. Thus employee acceptance may come slowly.

Manager acceptance

Before managers are willing to accept the EAP as a viable resource, they must be convinced of its efficacy. Even when procedures require that a manager refer a problem employee, a manager may view the EAP as interference or a waste of time. It is, therefore, incumbent upon the developers of the EAP to "sell" its services to managers prior to implementation.

Privacy

Privacy refers to not only anonymity and confidentiality, but to the internal lay-out of EAP offices and to such contingencies as sound-proof walls and concealed waiting areas. The client coming to an EAP simply does not want the fact advertised. If privacy is not provided, he is not likely to return.

Problem managers

Problem managers are those whose work performance contains the same characteristics as does that of the problem employee. Managers, however, are less likely to refer themselves for help as they seem to have a fear of reprisal (Myers, 1984) and EAP referral is not a two way street. Procedures for employees to refer managers are not traditionally a part of the EAP concept.

Union cooperation

Union cooperation refers to the desired condition that union representatives will refer members to the EAP and will support it by either helping management establish an EAP, or by establishing one themselves. This cooperation may depend on the perception by the majority of union members that the EAP is effective in both helping and in maximizing their leverage in wage demands.

Program Management Factors

Program management factors include those which affect the planning and execution of the EAP. They include:

Confrontation Support

Since the EAP cannot operate effectively if supervisors are unwilling or unable to confront problem employees, this condition relates to both the training of supervisors in confrontation skills and supervisors' willingness to use these skills. Although this is a crucial condition, supervisors have proven unwilling to use confrontation (Kurtz, et al., 1980).

Continual interviewing

This is the recommended technique for counselors within the EAP to use in dealing with referrals. It is designed to assess what employees like and dislike about their jobs by regularly asking so that emphasis can continually be placed on positive job elements as motivation for improving behavior.

Custom design

EAP's which are custom designed are unique to each organization and provide only those services which a particular group of EAP planners have identified as needed. Custom design, while ideal, is difficult, if not impossible for small organizations or consortiums of organizations.

Economics

Before establishing an EAP, planners are advised to consider a cost-benefit calculus in which the following factors are considered:

- marginal cost of adding additional services or clients
- comparing methods of pricing, e.g., per client, flat fee, guaranteed minimum
- cost versus work force size.

Once an EAP is established, cost monitoring and evaluation must continue.

Program Flexibility

Program flexibility refers to the ease with which the existing EAP structure, methods, and personnel can respond to the changing needs of the organization and the employees within the organization. A rigid program may soon be outdated. An extremely fluid program may lose employers' confidence and cooperation because it is not consistent in the way employee problems are handled. So the EAP manager and counselors must develop the means to maintain continuity and credibility while adapting to emerging needs, not identified initially.

Full-Time

Full-time refers to two contingencies. First, it refers to whether, or not, the EAP will give full time services to only one organization. Second, it refers to whether, or not, a particular counselor will work only with the employees of a particular organization. This can present a dilemma for EAP planners and managers. If only one counselor works with all the employees from a given organization, the counselor is likely to become

knowledgeable about organizational strengths and foibles and the quality of services is enhanced. Since counselors tend to specialize in the types of problems they handle, however, the assignment of only one counselor requires a trade-off in the types of problems for which help is available and in the number of employees which can be assisted.

Internal communications

Like any bureaucratic structure, the EAP cannot operate unless communication patterns within and among organizational layers are established and implemented. Communications are further complicated by the need for members of the EAP to consult with, relate to, and assist members of its task environment including those it is required to shield with anonymity and confidentiality.

Interest conflicts

Frequently the EAP counselor is literally "the man or woman in the middle." The counselor owes allegiance to the organization from which fees may be derived and from which referrals are made. If employees perceive, however, that the counselor is acting against their best interests, support is likely to be withdrawn. At the same time the counselor has a professional commitment to assisting the

client/employee, even if that assistance runs counter to organizational expectations.

The dilemma that interest conflicts can create is graphically illustrated by the case of an EAP consortium which was approached by a small industry (Acosta, 1984). Industry officials expressed a concern over increasing levels of drug and alcohol abuse among employees and asked the consortium to provide training for supervisors and to serve as a counseling resource for employees. It soon became apparent, however, that what the industry really wanted was to legitimize dismissals. Industry officials, in discussing training content, requested that the consortium provide supervisors with the skills to identify the addicts, or the potential addicts, so that they could be dismissed before problems occurred. When consortium officials became aware of the real reason their involvement had been requested, they solved the interest conflict dilemma by refusing to serve that particular industry.

Liability

Each counselor in an EAP can be held liable for injury or damage incurred by an employee as a result of the counselor's actions. Substantial penalties for revealing confidential information are provided for in the U.S. Code

(Hofmann, 1980). While the counselor in an EAP is no more likely to be held liable than the counselor in another agency setting, the EAP inevitably carries with it an aura of the client's employer. As such, a consciousness about, and provision for dealing with, the threat of liability actions is essential to effective program management.

Management control

The degree to which organizational officials can influence the personnel, procedures, and the results of an EAP is also a crucial program management factor. As demonstrated in the example discussed under "Interest conflicts," if management is not concerned with helping employees, and, instead, hopes to coerce them, management control can be detrimental to the EAP's reason for being. Conversely, responsible managers rarely are willing to invest time and money in a program over which they have little influence. In order to deal with the issue of management control, it is, therefore, necessary to develop guidelines at an early stage and to provide a means of insuring continued commitment to those guidelines.

Organization knowledge

EAP personnel must be freely informed about and understand the organization's goals, procedures, policies and reporting relationships. It is helpful for them to know the strengths and weaknesses of various members of the organization's hierarchy. The further removed the EAP is from the organization, the less likely organizational knowledge will be. Yet if the EAP is a part of the organization, the knowledge may not be of much help because the EAP will experience a greater degree of management control.

Preventive aspects

To be "ideal," the EAP must maintain a prevention component which utilizes information, education, and training in a proactive effort to forestall employee problems--particularly in the area of substance abuse. The EAP must not only advertise, but develop credibility. If the preventive aspect is completely successful, no other services would be necessary--not a likely scenario. Prevention is, in fact, a nebulous concept, for it is not possible to measure, for example, the number of addictions prevented.

Procedural interface

This factor refers to the degree of coordination between the EAP and the organization(s) it serves. Procedures for referral to the EAP, and procedures for amount and degree of EAP response to both client and management must be well developed and their utilization enforced. If they are not, the EAP may not receive the referrals originally expected and/or the organization may not be able to recognize the quantity or quality of services provided.

Professionalism

Organizations which utilize an EAP have the right to expect that counselors have the professional qualifications to handle the problems which will be presented. Certified or licensed counselors are more likely to be found on the staff of a consortium or a contractor. Frequently a counselor who is a member of an organization or union, or who volunteers on a Hot-Line, is a quasi-expert. These persons, while dedicated, often have, as their main qualification, that they have experienced and overcome a particular problem. This is especially true in the case of recovered alcoholics or addicts. Mentioning this phenomenon is not to negate the viability of programs such as

Alcoholics Anonymous. It is to point out that non-professionals are less likely to respond to other requisites of an EAP counselor such as those required in a viable "procedural interface."

Termination

The final program management factor which must be considered in setting up an EAP is the ease with which it can be terminated if it is determined to be in-effective, in-efficient, under utilized or not needed. Early cognizance of the possibility that an EAP may be terminated is critical to insuring a continuum of care for service recipients by carefully planning ahead for transfer of confidential records and transition of the client to a new service provider. An EAP which has operated in-house can be terminated much easier than one housed with a consortium or contractor. However, in either event, extreme care must be exercised to protect the client.

Thus, the human and program management factors which affect the EAP are myriad. A problem with any one can negatively affect the entire EAP system.

Proposition 4.2: The large number of factors which can affect an EAP inhibit EAP effectiveness.

UTILIZING THE EAP

As a part of establishing an EAP, guidelines for utilizing it must be developed. An example of the form these guidelines take is presented in Appendix D. They usually present the philosophy behind the establishment of the EAP, enumerate the problems with which it is designed to cope, and provide directions for when and how to refer. Implicit in these guidelines is the threat of dismissal if an employee does not cooperate (Shain and Groeneveld, 1980).

What must be realized here is that even when an EAP is available, supervisors are often reluctant to utilize it. This reluctance may be because referral to an EAP requires confrontation of the problem employee --- an unpleasant and frequently frustrating experience.¹¹ This reluctance may also be because the supervisor fears that a grievance suit will result from the confrontation (Phillips and Older, 1977).

In utilizing the EAP, it is also important to recognize that referral to the EAP is a reactive response, called forth as a result of overt action on the part of the

¹¹ Confrontation for purposes of EAP referral is likely to elicit the same identity responses as previously discussed in the section on "Traditional Management Strategies and Tactics." Whether the confrontation is to initiate discipline, or to offer the EAP as a disciplinary alternative, the "failure identity" will exhibit predictable responses.

particular employee. Although folk wisdom contains the truism that "prevention is the better part of cure," the EAP is most frequently utilized as treatment rather than as prevention (Shain and Groeneveld, 1980). This phenomenon lessens its effectiveness.

In discussing how problems can be solved (or diseases cured), Swisher (1977) identified three levels of prevention. Primary prevention occurs before the fact and involves education (or inoculation). Secondary prevention occurs during the fact and involves crisis intervention, early diagnosis, and crisis monitoring. Tertiary prevention occurs after the fact and involves treatment and rehabilitation. Each succeeding level is less successful in eliminating the problem, however, the manager is more likely to utilize the EAP at the tertiary level, and, in so doing, lessen its opportunity for being successful.

When an EAP is utilized, its services are likely to be in the form of individual counseling provided on a routine basis to the person referred.¹² Depending on the training and background of individual counselors, the approach will be either psychoanalysis, behavior therapy, casework, crises intervention, reality therapy, or transactional analysis

¹² In a recent survey of EAP consultants, 70 percent reported that individual counseling is the technique in good currency.

(Shain and Groeneveld, 1980). A counselor will meet with the referred employee on a regular, time-limited basis. Prior to and after meeting with the counselor, the employee continues in regular employment.

During this utilization period, the manager is not involved in employee assistance. Rather the manager continues using the same management techniques which have already been proven ineffective in dealing with the problem employee. Thus the manager may continue to feel as helpless as he did before the EAP referral.

EFFECTIVENESS OF EAP MODELS

As previously discussed, there are two basic types of EAP's: those which are internal to the organization and those which are external to it. Each model within each type has its own strengths and weaknesses in terms of dealing with the human and program management effectiveness factors previously discussed. A comparison of these models in relation to the effectiveness factors is presented in Table 9. Here it should be noted that the Contractor Model is effective in more dimensions than the others, with the Consortium a close second in effectiveness. Sadly, however, considerable evidence exists to demonstrate that no more than 10 percent of existent EAP's are fully effective (Borthwick, 1978).

TABLE 9

A Comparison of EAP Models in Relation to Effectiveness Factors

Effectiveness Factors	EXTERNAL			INTERNAL	
Access Ease	X			X	X
Anonymity	*	X	X		
Confidentiality	*	X	X		
Counselor Advocacy				X	X
Employee Acceptance		X	X		X
Manager Acceptance				X	
Privacy	*	X	X		
Problem Managers		X	X		
Union Cooperation		X	X		
Confrontation Support		X	X	*	X
Continual Interviewing				X	
Custom Design		X	X	X	
Economics	*	*	*		X
Flexibility		X	X	X	
Full-Time		X	X	X	
Internal Communications			X	X	
Interest Conflicts		X	X		
Liability		X	X	X	
Management Control				*	
Organizational Knowledge		X	X	*	
Preventive Aspects		X	X	X	
Procedural Interface			X	X	
Professional Counsel		*	X	X	
Professional Services		X	*	X	
Termination	*	*	X		

X = model effective

* = model very effective

Adopted from Myers (1984).

The two major issues which should be addressed in studies of EAP effectiveness are "penetration rate" and "success rate." The "penetration rate" tells the extent to which services reach the population for which they were designed. The "success rate" tells the extent to which improvement is made in the clients who actually receive services from the EAP.

"Penetration rates" are a real problem for EAP's which, typically, do not reach much of the population for which they are designed. The majority of the U.S. work force is not covered by any type of employee assistance (Myers, 1984) and the EAP's which do exist are used most often with blue-collar workers only. When they are used, they are not likely to be of much utility to employers of a work force of less than 500 (Task Force on Employee Assistance Programs, 1977). In fact, Shain and Groeneveld (1980) conclude that "employers of smaller work forces have been something of an embarrassment to the advocates of EAP's since the assistance program does not adapt readily to the needs of such employers."

This may be why most studies of effectiveness look only at "success rates." When "success rates" alone are studied,

they indicate that EAP's are from 60 to 80 percent effective, depending on the rigor of the criteria used to evaluate them (Hitchcock and Sanders, 1976). This narrow focus, however, has favorably skewed the results of EAP effectiveness studies (Shain and Groeneveld, 1980). By not looking at penetration rates and by not considering the complexity of the EAP, proponents of EAP's present them as pat solutions, which they can not be.

In her criticism of the EAP as a pat solution, Kamerban (1982) points out not only their complexity, but the many considerations which must be taken into account when planning, or evaluating, or marketing an EAP. She suggests that the following questions must be addressed:

- Should services be integrated, i.e., should the EAP provide general counseling to deal with all problems?
- Should services be categorical, i.e., should they deal with only a specific problem such as alcoholism?
- Should services be holistic, i.e., provided to both worker and family?
- Should services be problem-oriented, i.e., to deal with a discrete organizational problem such as absenteeism?
- Should services be free-standing, i.e., external to the organization?

- Should services be ancillary, i.e., provided internally under the employer's aegis?

Yet there are no simple answers to these normative questions. In fact, Feinstein and Brown (1982) indicate, that the answers to how an EAP should be established, should operate, or what problems it should deal with are irrelevant. Rather, they present the EAP as a type of organizational planned change which can provide human resource professionals (particularly social workers) an opportunity to capitalize on their skills while increasing the remuneration they receive.

Certainly, the EAP is not the panacea it is touted as being. Even if it were, several other significant problems remain. First, is the "logical theoretical limitation" of the EAP (Shain and Groeneveld, 1980). This limitation is that an employer cannot be confronted and coerced into EAP participation until job performance has been "officially tagged as deteriorating." Thus, they conclude that the EAP cannot be a source of either primary or secondary prevention.¹³ This presents a significant problem in that use of the EAP may come too late to be much help.

¹³ Swisher (1977) has defined three levels of prevention: primary or before the fact which involves education, secondary or during the fact which involves early diagnosis and crisis intervention, and tertiary or after the fact which involves treatment and rehabilitation.

A second problem with the EAP is that its structure and procedures do not lend themselves to assisting the manager in dealing with his own feelings when encountering a problem employee. Living through the previously discussed feelings of denial, guilt, inadequacy and fear, is not an easy task. Yet these phases will likely be experienced by a manager whether or not he has the resources of an EAP. The EAP model is not structured, however, to assist the manager through these stages, nor does the EAP literature give cognizance to the reality of the manager's own feelings --- feelings which may lead him to wonder if he, himself, is the problem employee.

Third the EAP is not designed to assist the manager of a problem employee who is simply not contributing to organizational goals. The EAP presumes that the employee is experiencing some trouble which, when resolved, will alleviate the problem behavior being exhibited in the work place. Troubles which can precipitate problem behavior have been identified by Masi (1982) as marital, personal, mental health, financial, health, and job related. Yet this problem behavior may not be the result of some trouble.

As any practicing manager knows, there are a number of types of behavior in the work place which detract from the accomplishment of organizational goals. These behaviors can

be exhibited by persons who are not alcoholics and, who are not experiencing some marital, legal, financial, social, or health problem. These are the behaviors characterized by Delaney (1984) as "dysfunctional."¹⁴ They are the behaviors of the "failure identity" and appear to occur whether, or not, the employee is experiencing troubles outside the work place. For such "dysfunctional" actions, the EAP offers no solution at all.

Thus, the EAP can be identified as having a number of inadequacies which can detract from EAP efficacy as a means of dealing with the problem employee. The identified inadequacies are summarized below:

1. The EAP is expensive - one 1975 estimate indicated the cost per employee is \$3000.
2. A universal model of the EAP has not been established. Thus no one frame of reference exists for evaluative purposes.
3. The EAP carries with it an element of coercion.
4. EAP effectiveness can be negatively affected by at least twenty-five factors - all outside the control of the organization and of the EAP administration.

¹⁴ An in depth discussion of "dysfunctional" behavior has been provided on pages 26 through 34.

5. EAP's typically do not reach much of the population for which they are designed.

6. An employee cannot be coerced into participating in an EAP until performance is officially labeled as deteriorating.

7. The EAP has no provision for assisting the manager of a problem employee.

8. The EAP has no provision for assisting the problem employee who is not troubled by substance abuse, health, marital, financial, or social problems.

Proposition 4.3: As a result of the problems endemic in the Employee Assistance Program, the Employee Assistance Program is only minimally effective as a means of dealing with the problem employee.

The next section presents Reality Therapy as a means of dealing with the problem employee.

REALITY THERAPY

The theoretical underpinnings of Reality Therapy have previously been presented on pages 58-66. In an effort to avoid redundancy, they will not be reiterated here. Rather this section will define Reality Therapy and present it as a management strategy which can be used to prevent and intervene with the problem employee, and as a technique for self-help for the manager. As with the EAP, the factors which can influence effectiveness will be discussed.

In order to present an unbiased picture of Reality Therapy, the definition being cited is taken from a textbook, Effective Helping, (Okun, 1976) which contains a brief description of all major counseling theories. Okun categorizes Reality Therapy as a "cognitive-behavioral" technique. "Cognitive-behavioral" techniques approach helping by dealing rationally with the thinking process and problem solving. "They are instructive, directive, and verbally oriented." Regarding Reality Therapy she explains:

Reality therapy involves a candid, human relationship during which helpers teach helpes to accept responsibility for themselves by analyzing inconsistencies among their goals, values, and behaviors.

...The Reality therapist encourages, suggests alternatives, praises positive behavior, confronts inconsistencies openly and directly, and cares enough about the helpes to reject behaviors that prohibit them from meeting their basic psychological needs. Helpers are concerned about present behavior, what helpes are currently doing, and what the consequences of alternative choices might be.

From this definition it can be seen that Reality Therapy teaches that behavior is chosen and that a person is capable of exhibiting any behavior that he chooses (Banner, 1983). It should also be evident that Reality Therapy is "a learning process in which the major goal is to help the patient (sic) assume personal responsibility" (Evans, 1984), for the "bottom line of Reality Therapy is that everyone must live with the consequences of behavior" (Peterson and Parr, 1982).

Practicing Reality Therapists recognize that Reality Therapy is not just a counseling technique. While they use it daily with clients who seek their services, they also practice it with one another and use it for self-help. For "Reality Therapy is not a textbook. It is life. It is action. It is hard work. It is the *way* (italics his) you live...with yourself and with others" (Ford, 1974).

The goal of the Reality Therapist is straightforward. It is simply to provide a climate in which persons have the opportunity to choose behavior which will enable them to successfully meet their needs for belonging and self-worth, and, within this climate, to facilitate that choice. Thus the Reality Therapist works to move the client along the "Identity" continuum from "failure" to "success" behavior. A discussion of the five identities and the behavior exhibited by each was presented on pages 74 through 79 and will not be reiterated here. It does need to be noted, however, that the goal of Reality Therapy is to assist the person to make responsible choices which will maximize pleasure and minimize pain so that identity responses are gradually altered giving the person the impetus to move along the continuum from failure to success.

To explain why people choose the behavior they do, Glasser has developed a model called "Behavior: The Control

of Perception" (Glasser, 1981). This model provides an elaborate explanation of how the brain works to choose the behavior being exhibited. Glasser explains that behavioral choices are based on internal perceptions of the way the world is so that the behavior exhibited is a direct result of the perception being experienced. If the perception being experienced is one which is unacceptable to the person, the behavior he exhibits will represent an effort to change the perception to one which satisfies the basic needs to be loved and to feel worthwhile. In this way the person attempts to control the outside world in an effort to get what he needs.

This explanation of behavior is the obverse of the stimulus-response explanation which views behavior as outside the control of the individual and puts it under the control of an external force which creates (or chooses) the behavior for another by a system of reward or punishment.

Thus Glasser rejects the Pavlovian techniques of behavior control and places responsibility for choice of behavior squarely on the shoulders of each individual. In so doing he also places the choice of how one "feels" with the individual. For Glasser, a person is not "depressed," but is "depressing," not "frustrated," but "frustrating," and so on. This perspective acknowledges the part each

individual plays in creating not only his behavior, but his emotions, and banishes the acceptance of excuses as a means of refusing to take responsibility for present and actual behavior.

This conceptualization of why behavior occurs is crucial in considering Reality Therapy as a management strategy for three reasons. First, when confronted with employee behavior which is detracting from organizational goals, the manager will recognize that the employee is choosing this behavior and is capable of choosing other, more productive behavior. He can then act to facilitate that choice.

Second, if the manager responds to the problem employee with the typical feelings of guilt, inadequacy, or frustration, he is less likely to "pray," "reason," "plead" or "bleed." Rather, by recognizing that behavior is a response to perceptions in relation to needs, the manager will not blame the employee for these feelings. Instead the manager will recognize that he can control his feelings by changing his behavior and that a change in his behavior can spark a change in the employee's behavior. This recognition can eliminate the natural proclivity to criticize which, according to Glasser is one of the most destructive approaches to problem resolution one can take (Glasser,

1983). Its destructiveness rests in its ability to make a person feel he is not perceived in the way he wants to be perceived. This feeling on the part of the employee will prompt more behavior which detracts from organizational goals, and, in so doing, worsen the situation, especially if the manager's response is more criticism.

Third, the manager, in recognizing that behavior is chosen and that different choices are possible, will be in a better position to deal with those who are supervising him. If his manager is procrastinating in some area in which he needs prompt feedback, or is responding to him with anger, he will recognize that the manager is acting in response to perception, not in a personal affront. This recognition will enable the individual to choose behavior which will facilitate his being perceived as he wants to be, and, in so doing utilize his own behavior to change his supervisor's behavior.

To clarify this discussion the following example is presented. A manager in a public agency was required to submit a grant proposal each year to obtain continued funding. The manager had a limited time from the date the Request for Proposal was published in the Federal Register until the completed document was due in Washington. Organization policy dictated that a second person read and

approve the proposal before it was mailed. This person was in a department different from the manager's and whether or not the proposal was approved had no effect on the security of her position. Thus reading the proposal was not a priority for her.

The manager prepared and submitted the proposal and, explaining the reason for the deadline, asked the person to have it read by a certain date. The date came and went and the proposal was not read. Having heard of other similar situations in which other managers had created conflict by losing their temper, and attempted to coerce by shouting and cursing over such a delay to no avail, the manager resisted the impulse to react with frustration and, instead, used Reality Therapy. Having already established a good relationship, he reiterated the importance of the deadline and asked when the person could have it read. The person responded with numerous excuses, explaining how busy she was and how much responsibility she had to bear. Recognizing that the person wanted to be perceived as very busy and important, the manager acknowledged his respect and admiration for the person, then asked, again, when the proposal could get read. The person agreed to have it read within three days, and did.

Thus the implications of Glasser's model for explaining behavior are clear. By recognizing that conflict is experienced when people behave in a way different from expected and by accepting that criticism and control as a means of resolving that conflict are counter productive, the manager can then move to the techniques of Reality Therapy. In so doing, negotiation and cooperation can replace coercion and criticism and thereby allow the internal worlds of two people to meet on a particular problem.

Before presenting the steps of Reality Therapy, it is important to note that to be effective, Reality Therapy in toto must be incorporated into management style. It is not a technique to be tried after all else has failed. Rather, it is an on-going management style. It is important to note here, however that Reality Therapy is not "authentic management" as described by Herman and Korenack (1977). It is a technique, a strategy, for facilitating productivity. While useful for dealing with the nonproblem employee, it is not necessary. Because, however, the manager may not be able to know who will become a problem employee, or why, or when, if Reality Therapy is already a part of management style, dealing with the problem employee will not be as traumatic for the manager. For those who insist that one must recognize that problem situations also exist, Reality

Therapy is offered as a means by which the manager can prevent situations which may be problematic for employees by begin aware of his/her own behavior choices.

In discussing Reality Therapy for use by managers, it is also important to note that the writer does not advocate that the manager attempt to "treat" sick employees. A manager is neither a counselor nor a physician and cannot let the use of Reality Therapy lull him into thinking it is the end-all solution for every problem. What is important, however, is that the manager is the person in the work place responsible for dealing with all employees--problems, or not. As such, the use of Reality Therapy can provide a means of management, as well as a technique by which the employee in need of professional mental or physical health services can be referred for help.

The manager using Reality Therapy becomes a catalyst by which an employee can confront his own behavior and make a decision to change. Reality Therapy is not a "cure." It is an intervention which affords an employee the opportunity to see his behavior as the manager sees it, then decide whether, or not, to continue that behavior.

STEPS OF REALITY THERAPY

The steps of Reality Therapy as they are used in the management of employees are reiterated and discussed below.

1. Make Friends. Establish and maintain a good relationship with the employee.

This first step is crucial to the incorporation of Reality Therapy into management style, yet is an all too easy step to miss, or mis-manage. A fine line exists here between "good relationship" and "superior-subordinate" relationship. To implement this step in its purest form by making friends violates the traditional management tenet that a boss cannot be friends with an employee. Certainly neither manager and subordinate nor therapist and client are organizational equals. This is not to say that as individuals they are innately different, nor is it to imply that we need one theory for "them" and another for "us." Yet a manager who has established a good relationship with subordinates by engaging in easy banter and social activities may find that when a problem occurs, a "failure identity" will use information gained in social interaction in an attempt to undermine the manager's credibility. Thus, the manager cannot be lulled into thinking that simply by making friends that Step 1 has been fulfilled.

What must also happen during Step 1 is the development of a "relational-confidence," which is a belief between two

people that they can rationally and calmly handle cooperatively and respectfully any problems which may arise. Establishment of this "relational-confidence" will take place gradually and can be facilitated through shared activities which occur on a regular basis (Ford, 1983). It is crucial to note here that the relationship is built on shared activities.

The English language provides a fluid conceptualization of the word "friend." The dictionary defines "friend" as "one devoted to another by affection, regard, or esteem; intimate acquaintance; a supporter of a cause." It is this series of definitions which can bode ill for the incautious manager. For the manager can not, and should not, expect himself and the employee to be devoted to one another by affection, nor dare they be intimate acquaintances. Rather their devotion must spring from, and be confined to, regard and esteem. Only in this way can the manager safely and effectively implement and maintain a good relationship with the employee.

Within this consciously developed relationship, it is important for the manager to be aware of the possibility that he can project his own biases on to an employee, rather than acknowledging to himself that the employee may have a different, equally valid set of values. To avoid the

projection trap, the manager needs to keep lines of communication open and really listen to what the employee has to say. This communication is especially important if the employee is experiencing personal troubles. While the manager cannot solve the employee's personal problems, an awareness that they exist will result in an empathetic relationship.

2. Ask, "What are you doing?" and get the facts on the table to look at the employee's specific performance problem. Do not discuss past mistakes and do not accept excuses, rather emphasize the facts of the employee's behavior which indicate there is a problem.

Step 2, in which the employee is helped to examine what he is doing now is a necessary step to the employee accepting responsibility for his own behavior. People rarely see their own behavior as having anything to do with the problem, rather they are more likely to see themselves as victims of something over which they have no control. The role of the manager using Reality Therapy is to continue to focus on behavior and refuse to accept excuses. How a person feels is irrelevant. The behavior he is exhibiting is the issue, and self-confrontation may be a necessary step toward self-examination.

Assisting the employee to examine behavior can be easy and rewarding for the manager. It can also be disturbing and threatening. For what happens at this stage in the

process will depend on the employee's identity. A "success identity" will readily admit the behavior exists, and spontaneously move to Step 3, evaluation, and Step 4, planning for change. A "failure identity" will likely respond with denial or some form of behavior which detracts from organizational goal accomplishments. The following situation from the researcher's own experience will illustrate this point.

The situation being described took place in a small agency which employed a director, one secretary, four full time professionals and twenty-one part time people. The secretary was the receptionist as well as the person who provided clerical services for the agency. Her office was adjacent to the director's and contained employee mail boxes, central files, a copier and an extra typewriter. Her desk was near to and facing the exterior door. A table and several guest chairs furnished the area.

Because of the equipment and information in this office, other employees were frequently in it. As each came in, they chatted with the secretary. Several times, as many as four or five people would be gathered in the office visiting. The Director requested that they not congregate, distributed as many files as possible to their separate offices and had the table and all but two guest chairs

removed. After this happened, the visiting slowed, but the secretary then spent several hours of her day in other people's offices. Her work got behind. Budget reports due in August were not done by October.

The manager, who had been consciously working at using Reality Therapy, thought a good relationship had been established, and perceived herself as focusing on behavior which needed changing. During the early days of the situation, the secretary had attempted to use the other employees, the equipment and the volume of work as excuses. As one by one these excuses were removed, the manager confronted the secretary with her own behavior. At this point, the secretary screamed at the manager that it was her (the manager's) fault because she didn't like the secretary, started to cry, said she had been made a scapegoat because the manager was in trouble, and ran from the office. Shortly, thereafter, she resigned.

A new secretary was hired. Soon, she too, was distracted by the other employees, as she tried to get the previous secretary's work caught up and also keep her work current. Again the manager began their relationship with Step 1 of Reality Therapy and again the visiting behavior was brought up. The new secretary, with her success identity responded in an entirely different way. She stated

that she had been thinking about what to do when other people came in the office and had decided that by rearranging the office, so that her desk was out of the way, she would be shielded from distractions. In that way, she felt she could keep the work current. She also volunteered to work the next Saturday to do the rearranging.

Thus the same situation, with Reality Therapy used by the same manager, resulted in a different outcome because of the employee's identity. Another manager who uses Reality Therapy reported experiencing a similar phenomenon. In his situation, the failure identity obtained an attorney when confronted with his inappropriate behavior. Undaunted, the manager used Reality Therapy with the lawyer, and the employee, convinced by his attorney to stop the case, returned to work with changed behavior (Abbott, 1985).

Thus at Step 2, no one outcome can be predicted. As this discussion has demonstrated, Reality Therapy, like other managerial approaches, is more likely to be effective with the success identity. The purpose of all of Reality Therapy, however, is to move the client away from failure behaviors, and the hope is that the person will eventually learn to replace failure behaviors with success ones. The manager, however, is not a therapist, thus his goal is slightly different.

The purpose of using Reality Therapy in management is to rid the work place of behaviors which detract from the accomplishment of organizational goals. If the employee is willing to acknowledge inappropriate behaviors and, with the manager, move on to Step 4, evaluation of those behaviors and to Step 5, development of a plan for change, Reality Therapy has been successful. If the employee, in the confrontation with behavioral reality, chooses to resign, the manager's purpose in using Reality Therapy has still been achieved.

3. Have the employee evaluate his own performance and suggest ways of improving it. Get agreement that something must be done.

This step requires getting a value judgment from the employee, and is often difficult. People are more likely to say "I've tried everything already," than they are to immediately begin to suggest alternative actions. But they must make the value judgment that what they are doing is hurting them and want something better before they can move to Step 4, planning (Ford, 1982).

As a part of this evaluative process the manager must ask probing questions which facilitate the employee's thinking about what he wants in addition to what he is doing. This leads the employee to acknowledge that what he is doing is not giving him what he wants and opens the door to planning for change.

This evaluative step may also have quite different consequences with a "failure identity" than it does with a "success identity." In the previously told story of the two secretaries, the secretary with the "success identity" was immediately able to see that she wanted to catch up past-due work and keep her work current, then make a plan for accomplishing that goal. The secretary with the "failure identity" wanted to retain the status quo and thus denied that she had a problem, perceived herself as a victim, and acted to escape, rather than to solve the problem.

In the counseling relationship, the Reality Therapist, at this point, would have confronted the client with her escape behavior and asked something like, "Do you really want to leave your job?" or "How will you support your family if you quit your job?" Such questions would be designed to facilitate the client's realization that escape might have worse consequences than staying with the job and changing behavior. The manager, however, is not a therapist. His concern is the organization. Thus if the problem employee chooses resignation, the manager/employee relationship ends and the manager must let it go.

4. Make a "Get Well" action plan. Make certain the plan is specific as to what is to be done, when, how, and how much. Set review points to check progress.

Plan making for behavioral change is a crucial step in the Reality Therapy process. Making the plan, however, is not the responsibility of the manager (nor of the therapist), rather the employee is encouraged to make his own plan for change. The development of this plan in no way requires, and is not meant to suggest, that the manager is an "arm-chair" therapist. Rather it is to recognize that the employee has the ability to change behavior and to plan for that change. Ford (1973 and 1982) cautions that to facilitate successful completion, the plan should be concrete, small, within a specific time frame, and something that can be done immediately. The plan should focus on what will be done, not on what will not be done. For instance an employee, whose problem behavior is tardiness might plan, "I will arrive at work by 8 A.M. tomorrow," not "I will never be tardy again."

Another element in effective planning is to focus on choosing a behavior to replace the one which has been determined to be inappropriate, and which can be accomplished regardless of what others do. In the example of the secretaries, the successful plan was "I will move my desk to a private area on Saturday," not "I won't waste time by visiting." In a similar vein, an employee who has a drinking problem should not say "I won't drink." Rather he should say, "I will attend AA," and so on.

Once the plan has been made, the manager can effectively reinforce it by returning to the value judgment step and asking the employee if the plan is a good one and if he thinks it will work. In explaining to the manager why he thinks the plan will work, the employee is more likely to take ownership for the plan and in so doing is more likely to move to Step 5, commitment.

5. Get a responsible commitment to the plan from the employee.

At this step in Reality Therapy, the responsibility for changing behavior is being transferred to the employee, but the manager retains involvement by continuing to show interest in the employee's success. The commitment stage may involve a handshake, with the manager saying, "I know you can do it. Keep me posted on how you're doing." The next day the manager can observe success and compliment the employee, or can check by asking the employee's how the plan is going. This involvement reaffirms the worth of the employee and reinforces success. If the plan doesn't work, the manager moves to Step 6.

6. Accept no excuses. If the plan did not work, don't ask why, just focus on what didn't work and assist the employee in trying to change that.

Ford (1982) calls this the "treadmill" step because it is so easy for the employee to get caught up in excuses, and it is so easy for a counselor (or manager) to get trapped

into empathizing and sympathizing. But it is important to remember that excuses are irrelevant, actions are important. Thus the manager may have to confront the employee by asking such questions as "what's more important to you, your job or visiting with other people?" or "Do you want to work at succeeding in this job or do you want to look for another job?"

This step is also the one where it will be especially helpful for the manager to realize that the employee's excuses will reflect how he wants to be perceived. If the manager can identify this perspective and respond by acknowledging that he is aware of how busy the employee is, how many home responsibilities the employee has, etc., then return to asking the employee what he can do to change the behavior as planned, the employee is likely to leave excusing and move back to planning. If he does not, Step 7 follows.

7. Let logical consequences take over. Don't punish and don't criticize, but don't protect either.

If the manager reaches this step in Reality Therapy and the employee still hasn't changed behavior, the manager is likely to be thinking Reality Therapy "doesn't work," or that he is using it "wrong." This is not likely to be the case, however. Rather, "failure identities" have learned over time to meet their needs through giving-up, shouting,

fighting, cursing, or addiction. These learned behaviors are slow to change. While the natural response to these behaviors might be to punish, especially after going through the steps of Reality Therapy, the manager must permit logical consequences to occur. In so doing, he will facilitate the change process.

It is important here to clarify the difference between punishment and logical consequences. Glasser (1971) defines punishment as an action, external to the person, which is illogical in its relationship to the misbehavior. In fact, a person with a "failure" identity will welcome punishment because it provides the attention he craves, even though it is negative attention (Young, 1981). To punish is to impose a penalty from outside the person. To allow logical consequences to occur is to permit the person to face the reality of a situation, and thus to take responsibility for it.

As Ford (1982) notes,

It is important not to create any more pressure on the client (punishment) than the client is already experiencing (usually a lot). Punishment is an external attempt to force a person to change but it doesn't teach the way to change....It can cause a whole series of ineffective behaviors ranging from apathy to violence.

Rather than punishing, then, the manager must allow logical consequences to occur while teaching a better way to

handle problems. Depending on the employee's behavior in the work place, the difference between punishment and logical consequences can be viewed as follows: Rather than a demotion (punishment) the person receives no raise. Rather than being "called on the carpet," the person is ignored. Rather than being suspended, the person receives an undesirable assignment. Rather than threat of termination, behaviors are documented in the personnel file, with a copy to the employee. Rather than participating in flexible hours, the person is required to punch a time clock, and so on. In each incident of logical consequences, the employee must be made fully aware that when he is able to assure the manager that behavior will change, he will return to being eligible for all of the benefits of the work place.

8. Don't give up too easily.

No matter what happens, it is important that the manager refuse to give up on the employee, if at all possible. If the employee realizes that the manager has faith in his ability to change, he is more likely to have faith in himself.

Here, however, the manager must balance organizational reality with his desire to assist the employee to change. If time being devoted to the employee becomes

disproportionate to the time which must be devoted to other employees and job responsibilities, the manager may want to plan with the employee to seek outside help. If the employee's problem behavior is drug or alcohol related the plan should have been to obtain professional assistance and the manager's not giving up would be reflected in supporting the employee's decision.

The important component of "never give up" for the manager is refusing to give up the belief that the employee can change. It is not that the manager hang on to the notion that it is totally up to him to facilitate that change.

The use of Reality Therapy in management is presented in the flow chart shown in Figure 4. In this chart, rectangles represent process symbols which contain the procedure used at that particular step and the diamond represents a decision point. Arrows show the flow of activity between steps. This diagram illustrates that the use of Reality Therapy is an on going process which will allow the manager to identify potential problems early-on and deal with them before they can escalate.

At this point the reader may be wondering how Reality Therapy can be used to deal with particular troubles a problem employee may be experiencing. The most likely

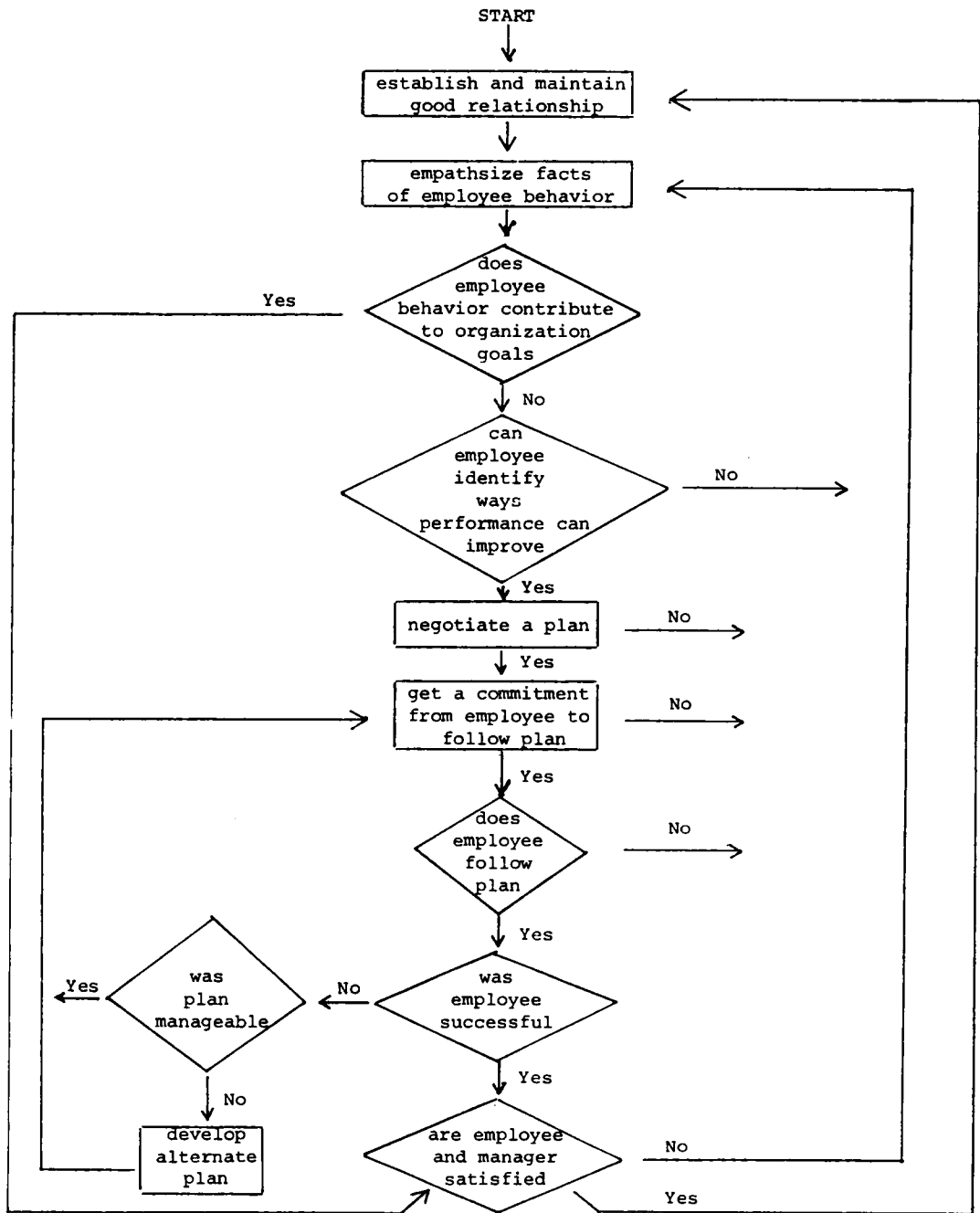


Figure 4: FLOWCHART FOR THE USE OF REALITY THERAPY IN MANAGEMENT

troubles have been identified as falling into the following categories: Social (marital, personal, etc.) - 37 percent, mental health - 14 percent, legal - 9 percent, alcohol related - 9 percent, job related - 8 percent, financial - 6 percent, health - 14 percent, and other - 2 percent (Masi, 1982). While these troubles may not all spill over as problem behaviors in the work force, when problem behavior does occur, these troubles are the expected precipitating causes.

In using Reality Therapy to deal with any problem employee the manager must keep in mind that the troubles are not his concern - the problem behavior is. Thus he will not try to "solve" the employee's problem. Rather, the focus must be on how the employee is behaving and on what that behavior is doing for the accomplishment of organizational objectives.

What the manager must keep in mind is that Reality Therapy focuses on behavior and on teaching the client that behavior is chosen, and that more effective behaviors can be chosen (Banmen, 1983). Thus the crux of Reality Therapy as a management strategy is the identification of employee behavior in the work place |the assessment with the employee of, whether or not, that behavior is contributing to organizational goals; and the development of a joint plan for change.

This plan may take any number of directions. It may include steps to increase productivity, it may include an agreement to consult an attorney, or to accept referral to an EAP. It may include an agreement to participate in Alcoholics Anonymous, and it may include a decision to seek other employment. The crucial point here is that with Reality Therapy, the manager does not attempt to control the employee nor is coercion used to force the employee into seeking outside help. Rather, the manager, in developing a good relationship with the employee, is able to plan jointly with the employee the steps to be taken toward increasing the employee's contribution to organizational goals and thus increase the likelihood that the employee will follow through on the plan (Johnson, 1975). Whatever plan is developed, the manager then stays involved with the employee, discusses what the employee is doing to follow the plan and ascertains if the plan is effective, or if another plan is indicated, and refuses to accept excuses.

A real advantage of Reality Therapy for the manager is that its use can alleviate the pain he can experience when faced with the problem employee. Self blame is less likely, as Reality Therapy can also be used as an instrument for personal growth. Haines (1983) has developed a technique for personal problem solving using the steps of Reality Therapy which is presented below and in Figure 5.

MY PLAN FOR IMPROVEMENT					
Date	What do I want?	What am I doing now?	Is it helping or hurting?	What is my plan to do better?	Am I committed to following my plan?
Date	Did I follow my plan today?	What excuses did I give for not following my plan?	What were the consequences	Review what I want.	What is my next plan? Never give up!

(Haines, 1983.)

Figure 5
My Plan for Improvement

INSTRUCTIONS FOR USING THE PLAN FOR IMPROVEMENT

Date: (Date of Entry)

What Do You Want? In simple terms list what you really want. What goal do you wish to achieve or what problem do you wish to solve?

What Are You Doing Now? List specific actions you have taken to reach your goal or resolve the problem. Thinking about it or realizing something must be done does not constitute action. Recognizing that a problem exists is not half the battle. It is perhaps one-fourth. After recognition comes the true test of dedication to change.

Is It Helping or Hurting? Write ways in which your actions are helping to relieve the problem or ways in which your choice of actions is not working.

What Is My Plan To Do Better? Make a plan with specific actions which will help you achieve your goal or alleviate the problem. Write only those actions which you are willing to do.

Am I Committed to Follow My Plan? Are you committed to faithfully and consistently follow the actions stated in your plan. Think about it before you mark "yes" in this column. Your answer here reflects how badly you want to achieve your goals or solve the problem.

Date: Date of each subsequent day.

Did I Follow My Plan Today? Answer Yes or No. An answer of "Sometimes" really means no. Therefore, list it as "No". A "No" answer reflects a lack of commitment to following your plan and to achieving your goal.

What Excuses Did I Give for Not Following My Plan? What excuses did you give yourself for not following through with your plan of action? Write them down, then recognize that they are excuses, not reasons.

What Were The Consequences? What happened as a result of not following your plan? Perhaps the most significant result is no change for the better or matters became worse.

Review What I Want. If you did not follow through with your plan, you should look at your goal. Again decide if that is what you really want.

What Is My Next Plan? If you decide you really want your original goal, make another plan of action to achieve it. Go through the same process until the goal is reached. Goals should be flexible. Therefore, if necessary, change your want and amend the goal.

Never Give Up! Never give up on yourself. You can fulfill your needs for love and belonging, worth and recognition, fun and freedom to choose by using this plan for self-improvement.

EFFECTIVENESS OF REALITY THERAPY

In discussing the effectiveness of Reality Therapy as a management strategy, the same criteria as were considered for the EAP will be discussed. These include factors which can influence effectiveness, and penetration and success considerations.

To "do" Reality Therapy, the manager simply follows the eight steps and develops the judgment necessary to know when to move from one step to the other. Thus there are few extraneous factors which can influence effectiveness. The program management factors which can so dramatically affect the EAP are non-existent in the Reality Therapy model, and the number of affecting human factors are minimized, as discussed below.

"Access ease," presents no problem for either manager or employee. Both are present in the work place where

supervisory conferences are (or should be) routine. Thus, not only do the manager and employee have ready access to one another, but their regular interactions give the manager the opportunity to become familiar with the employee's special traits, talents, and abilities - a requisite for effective Reality Therapy (Silverberg, 1984).

"Anonymity" is essentially guaranteed for the employee because a manager who has incorporated the tactics of Reality Therapy into his supervisory style will be treating each employee in the same way. Thus, if problem behavior occurs, other employees will not be aware that the manager is dealing specifically with the problem, nor are they as likely to see a person as being "called on the carpet." Rather manager-employee interaction are routine, with no one employee being singled-out.

Regarding "confidentiality," the manager as Reality Therapist is in a position to know what the employee's troubles are. However, these troubles are not to be made the emphasis. Rather, behavior which is detracting from organizational goals should be the focus. Whether or not the employee discloses his problems is his choice. With Reality Therapy, excuses are not accepted. Thus the trouble becomes moot, as does the issue of confidentiality. If an employee voluntarily shares a trouble with the manager, the

manager has not become informed through a violation of confidentiality.

If the manager is using Reality Therapy, "counselor advocacy" is not an issue because no third party counselor is involved. Thus the employee has no crutch and no opportunity to depend on some one else to be responsible on his behalf. Since one of the basic tenets of Reality Therapy is personal responsibility, the absence of a third party advocate facilitates responsible behavior.

Regarding acceptance by manager and employee, it seems that Reality Therapy is more likely to be accepted than an EAP. This is because Reality Therapy is not some outside nostrum applied in a crisis, nor is it an instrument of coercion. Rather Reality Therapy, when incorporated as a management style, provides primary and secondary, as well as tertiary, prevention. This style will be that to which the employee has become accustomed and should therefore not be viewed as threatening.

These comments regarding employee acceptance are presented with the following caveat: The problem employee will accept the manager's use of Reality Therapy only if this style has been in use since the manager-employee relationship began. If the manager waits to use Reality Therapy until after problem behavior occurs, than the

confrontation inherent in Reality Therapy is likely to be resented as much as will any other confrontation. Thus Reality Therapy is not a "band-aid" type solution, to be resorted to when all else has already failed. Rather, just as Reality Therapy is a way of life; to be effective, it must be a way of managing.

When Reality Therapy becomes a way of managing, the "penetration" factor, so problematic to EAP effectiveness becomes irrelevant, for Reality Therapy will be penetrating all components of the work unit.

In discussing the effectiveness of Reality Therapy, it should be noted that Reality Therapy has been successfully applied with people in a number of situations: Corrections (e.g., Falker, 1982; Glasser, 1965), Schools (e.g., Dalbeck, 1981; Evans, 1981, Glasser, 1980), Rearing of Children (e.g., Ford and Enlund, 1977), Delinquent Adolescents (e.g., Cox, 1979; Molstead, 1981; Thatcher, 1983), Substance Abuse (e.g., Evans, 1984, Glasser, 1972; George-Mrazek, 1983; Reuss, 1983), Burn-out (e.g., Edelwick, 1980; Hubbard, 1979), Management and Supervision (e.g., Eruse, 1984, Karrass and Glasser, 1980; Schaubency, 1977).

Proposition 4.4: Reality Therapy is likely to be effective as a means of dealing with the problem employee.

COMPARISON OF REALITY THERAPY AND THE EAP

A Comparison of the EAP with Reality Therapy is presented in Table 10. It is evident from this table that Reality Therapy does not suffer from the inadequacies previously mentioned in regard to the EAP. This is not to say that Reality Therapy is a panacea, nor that it will resolve all of a manager's concerns in dealing with the problem employee nor that EAP's are useless. It is, however, to offer Reality Therapy as a strategy for alleviating those concerns and providing a means of purposive action for dealing with the problem employee.

It should also be noted that the EAP and Reality Therapy are not mutually exclusive. Rather, part of the employee's plan for changing behavior may be the utilization of the EAP, if one is available. If this is the plan, the manager's use of Reality Therapy will continue during the hours of work. While the manager focuses on facilitating behavior in the work place which successfully contributes to organizational goals, the EAP counselor will be facilitating behavior change in other areas of the employee's life --- areas which are of no concern to the manager.

For an employee with severe behavioral problems, the manager will likely need resources from outside help. For the manager is neither psychologist nor physician. Rather

TABLE 10

Comparison of Reality Therapy and the EAP

<u>Inadequacy</u>	<u>EAP</u>	<u>Reality Therapy</u>
Expensive	X	
Coercive	X	
Bureaucratic	X	
Outside manager's control	X	
Incomplete penetration	X	
Problem prevention		X
Personnaly supportive to manager		X
Universally Accepted Model		X

the manager's main concern must be for organizational goal accomplishment, and his or her commitment must be to utilize whatever means are available to accomplish this end. Reality Therapy will likely facilitate goal accomplishment and it is consistent with the time constraints of management. The willingness to acknowledge the efficacy of other resources, however, is necessary.

4.5: An employee with severe behavior problems is likely to be more effectively helped if a manager utilizes both Reality Therapy and the Employee Assistance Program.

RECAPITULATION

This chapter has compared the use of Reality Therapy and other methods in dealing with the problem employee. In this comparison, traditional management methods were rejected as inadequate for dealing with the problem employee. The EAP was viewed as only partly effective, because of the number of factors which can affect it negatively, and the number of inadequacies from which it suffers. The counseling technique of Reality Therapy was then presented as an effective means of dealing with the problem employee alone, or in conjunction with, the EAP.

This discussion generated the following propositions.

Propositions for Chapter 4.

4.1: Traditional management practices are not effective for dealing with a problem employee.

4.2: The large number of factors which can affect an EAP inhibit EAP effectiveness.

4.3: As a result of the problems endemic in the Employee Assistance Program, the Employee Assistance Program is only minimally effective as a means of dealing with the problem employee.

4.4: Reality Therapy is likely to be effective as a means of dealing with the problem employee.

4.5: An employee with severe behavior problems is likely to be more effectively helped if a manager utilizes both Reality Therapy and the Employee Assistance Program.

The next chapter presents the methodology by which the propositions in Chapter Three and Four have been developed. It then describes and presents the results of a heuristic exploration of the likelihood that these propositions are true.

Chapter V

A HEURISTIC EXPLORATION OF PROPOSITION VALIDITY

This chapter explains the research design and the use of The Computer Consultant (TCC) to explore heuristically the probability that propositions developed in Chapters III and IV are valid. It justifies the use of TCC, discusses reliability and validity, and presents the results of TCC calculations.

Two objectives were established for this study:

- To develop a theory of person-at-work which recognizes the problem employee.
- To determine if management intervention, in the form of Reality Therapy, as a means of alleviating the problem is possible and practical.

Emerging from these objectives, and the review of the literature was a hypothesis: that a manager can intervene to change the behavior of a problem employee. A corrolary hypothesis is that Reality Therapy can be used as an effective intervention.

RESEARCH DESIGN

As explained in Chapter III, this research was conducted using the case survey method which has been identified by Dunn and Swierczek (1977) as a viable means of developing grounded theory when it is used together with procedures for the continuous coding and comparison of case materials. Cases for analysis were obtained from the Merit Systems Protection Board (MSPB). In order to obtain a cross-section of types of cases, 150 case summaries were randomly selected from the Federal Merit Systems Reporter (US MSPB, 1979 - 1984). An abstract of each case was prepared and information obtained from each case was recorded on a "Case Survey Coding Instrument," a copy of which is presented in Appendix A.

Procedures used to conduct the case analysis were adapted from Yin and Heald (1975), Dunn and Swierczek (1977), and Dunn (1981). The initial phase of the case analysis was the construction of a close-ended questionnaire (the "Case Survey Coding Instrument") which was developed from the review of the literature and the theoretical orientation of the research. This instrument was utilized to synthesize a wide range of variables from existing records to identify the causes and effects of problem employees. It has eighty-two conditions in seven major dimensions:

- Attendance

This dimension includes such behaviors as tardiness, long lunches, excessive absences, extended illness, and extended, unexplained absences.

- General Behavior

This dimension includes such conditions as complaints by fellow workers, lies, withdrawal, undermining supervisor, money problems, legal problems, drinking or drugs, emotional outbursts, and aggression.

- Job Performance

This dimension includes such conditions as missed deadlines, poor judgment, below average performance, insubordination, and unethical practices.

- Supervisory Behavior

This dimension includes action the supervisor has taken to intervene with the problem employee and includes such conditions as counseling, referral for help, job re-design, confrontation, documentation, and disciplinary action.

- Organizational Constraints

This dimension includes the manner in which the manager's behavior was constrained by policies,

procedures, upper management, unions, tenure, and EEO policy.

- Employee Characteristics

This dimension is an attempt to get at what makes the employee tick and includes such variables as age, sex, race, education, interests, and employee statements regarding problems.

- Exclusion Criteria

This dimension is necessary to identify cases to be included in the final analysis and those which will be rejected. Questions in this dimension, and in the other six, were answered. After all questions were answered for the selected cases, the final case load was divided into those which survived the exclusion criteria, and those which failed to. For purposes of this study, two exclusion criteria were determined:

- Extent to which problem is defined.
- Inclusion of at least three of the dimensions in the "Case Survey Coding Instrument" in the case material.

Of the cases reviewed, eighty-one survived the exclusion criteria to be used in the research. From these

cases, aggregated information from the "Case Survey Coding Instrument" was utilized for input into the Computer Consultant, along with information from the literature review, and the researcher's own experience.

THE COMPUTER CONSULTANT

The TCC program was developed with the idea in mind that many situations being analyzed involve logical relationships more numerous than most people can consciously handle at one time. TCC provides a way to interrelate such relationships, and to calculate the likelihood of such relationships existing. It is a descriptive model which permits identification of the myriad conditions which can affect a situation, then calculates both the likelihood of the conditions occurring, and the likelihood of a situation existing when the conditions occur. Thus TCC can "provide not only a logical conclusion from a set of statements, but also the chance (italics his) that the conclusion will be true" (Dickey, 1984).

The purpose of the TCC is to help provide a clear picture from "fuzzy beginnings" by providing a structure for the logic inherent in a situation. As part of this picture the TCC produces probability calculations regarding the likelihood that a relationship or a conclusion will occur.

TCC is a type of expert system which moves quickly from the general to the specific and produces finite probabilities. The probabilities are often given in five digit numbers which, even when rounded to the nearest hundred, appear much more dogmatic regarding conclusions than is intended by the researcher, or is expected by the user. The nature of TCC, however, is to produce probability calculations. These calculations will be reported in this chapter as a part of discussing the heuristic exploration of the validity of propositions presented in Chapters III and IV. The reader is cautioned, therefore, to view these probabilities only as heuristic.

Because TCC is an interactive program, the person using TCC selects the conditions to be incorporated into the model, and identifies the relationship of each condition to another. This selection and identification is grounded in research and experience. Conditions incorporated into TCC are of three types: 1.) "external conditions" which are not influenced by any others in the model, because they depend on forces already set in motion, but which can be expected to influence other conditions in the model, and ultimately, the final situation, 2) "intermediate conditions" which are influenced by other conditions in the model, and 3) "goal conditions" which are the situation for which TCC has been utilized to calculate the likelihood of occurrence.

In this research TCC was utilized to interrelate the conditions which were identified as affecting each proposition presented in Chapters III and IV, and to calculate the likelihood that each proposition was valid. In setting up TCC, the goal condition was identified as the situation in which employee behavior contributes effectively to the accomplishment of organizational goals. In determining the likelihood of this goal being reached when a problem employee is present, and the likelihood of effectiveness of various methods of dealing with the problem employee, over one hundred conditions were identified as having potential for influence on the goal.

The CCS model was set up to reflect the likelihood of conditions occurring to precipitate problem behavior, and to calculate the likelihood that, if an employee became a problem employee, he would continue to contribute to organizational goal accomplishment. Then CCS was reconstructed to calculate the likelihood of conventional methods being effective in dealing with the problem employee, the likelihood of an EAP being effective, the likelihood of Reality Therapy being effective, and, finally, the likelihood of a combination of Reality Therapy and the EAP being effective. The results of these calculations are presented later in this chapter.

In addition to providing a logical model for exploring the probability of the existence of conditions which build theory and calculating the likelihood of theory propositions being valid, TCC has the capability of conducting sensitivity analysis. Certainly, no results are fixed in concrete. Rather they are subject to a degree of uncertainty. One measure of sensitivity is elasticity, which is defined in TCC as the percentage change in a goal condition likelihood for a 1 per cent change in an external condition. A positive elasticity reflects that a change in the external condition will positively affect the goal condition, while, conversely, a negative elasticity indicates that the more likely an external condition is to exist, the less likely the goal condition will occur. High elasticities indicate a great degree of influence, while low elasticities reflect little response of the goal condition to a change in the external condition. Results of sensitivity analysis are presented near the end of this chapter.

It is hoped that this discussion has justified the use of TCC in heuristically exploring the probability of the validity of the propositions developed in Chapter III and IV. It is recognized that the preferred sequel to theory is a statistical analysis of sample data which will permit a

conclusion to be drawn regarding the relationship of variables, or the degree to which variables change together. Statistical analysis would allow a conclusion with some degree of confidence, that the theory is, or is not, accurate, and permit an acceptance or rejection of a null hypothesis. TCC, however, does not provide this sophistication. The value of TCC lies in its ability to demonstrate relationships and probabilities, not in its ability to test hypotheses rigorously.

RELIABILITY AND VALIDITY

The method for determining reliability of the observations made in analyzing MSPB cases, and in evaluating the likely effectiveness of methods of dealing with problem employees, is that recommended by Yin and Heald (1975). This method suggests that reliability can be determined by looking at the degree of inter-analyst agreement in recording the results of case analysis. Reliability of observations was measured by having another person, trained by the researcher, review 7 per cent of the cases and complete a "Case Survey Coding Instrument" for each. From this, the amount of inter-analyst agreement was calculated by, first, adding all the responses that were the same. The number of identical responses was then divided by the total

number of responses. When only identical responses were counted, an inter-analyst agreement of 87 per cent existed. Agreement was 96 per cent, however, when both identical responses, and identical non-responses were counted. Thus, the results of the case analysis are considered to be highly reliable.

To determine the reliability of the hypotheses regarding effectiveness of methods of dealing with the problem employee, and of conjectures regarding predictable identity responses to these methods, the services of both a second analyst, trained by the researcher to recognize identity types, and a practicing Reality Therapist were utilized. For both the analyst and the Therapist, cases representing each identity type, as identified by the researcher were summarized and presented, without revealing the researcher's hypotheses regarding them. Both the analyst and the Therapist were asked to specify the identity type and hypothesize what that identity type's reaction would be to traditional methods of dealing with the problem employee, to the EAP, and to the use of Reality Therapy by the manager. Their hypotheses were in agreement with those of the researcher. Thus, the observations which led to the propositions regarding methods of dealing with the problem employee are considered to be reliable.

Validity is a more difficult issue with which to deal. Validity has been defined by Cook and Campbell (1979) as "the best available approximation to the truth or falsity of propositions." Validity can be of two types: internal and external. Internal validity refers to the approximate accuracy of an identified relationship between two variables. External validity refers to the approximate accuracy that the identified relationship can be extended outside the sample studied. As noted by Dunn and Swierczek (1977), grounded theory meets both these conditions for validity. By its reliance on both observation and experience, grounded theory¹⁵ reflects both an accuracy of relationships, and typifies conditions in the real world. Because grounded theory is an heuristic approach to theory construction, validity cannot be measured, as it can in statistical analysis. Cook and Campbell (1979), however, note that high measures of reliability lend themselves to the accurate representation of validity, and Yin and Heald (1977) conclude that exclusion criteria included in a case analysis questionnaire, are acceptable means of controlling for validity.

¹⁵ That the theory presented in this dissertation is grounded theory was demonstrated in Chapter III.

In addition, TCC can be used to strengthen validity in theory development in the following manner: First, the CCS is constructed using only conditions which have been identified by the researcher through experience, and which are found to be present in a random selection of 50 per cent of the cases under analysis. Then the information in the remaining 50 per cent of the cases, and from the review of the literature is built into a second model, used to check the first. The agreement between the two resultant goal condition likelihoods denotes a measure of validity (Dickey, 1984).

Therefore, as a part of this research, two iterations of the CCS were constructed for the purpose of determining theory validity. In the first, the resultant likelihood of an employee contributing to the accomplishment of organizational goals when a problem employee is present, was .44, while in the second, it was .44. Since, this is only a difference of .01, the results of both iterations seemed consistent, with the model representing what it purports to represent.

Thus, the research, and subsequent theory development were assumed to be valid for four reasons:

- Exclusion criteria were a part of the case analysis instrument.

- The theory is grounded in both empirical observations and experience.
- Reliability of observations recorded on the case analysis instrument was determined to be between 87 and 96 per cent.
- The theory was subjected to a validity check by TCC.

UTILIZING TCC TO VALIDATE THEORY PROPOSITIONS

To utilize The Computer Consultant, it is first necessary to identify a "goal condition" which, in the model developed for this research, was defined as "employee behavior contributes effectively to the accomplishment of organizational goals. Next, it is necessary to identify as many conditions as possible which can affect goal accomplishment, and to develop a logical relationship between these conditions. This development takes place in two ways: First, a schematic diagram of the relationships between and among conditions is constructed. Next, a "Condition Description and Influence Table" is developed. Identified conditions and their relationships are recorded on that table by giving each a short, descriptive name, numbering them (A1, A2...An), then recording their relationship to one another. Then a "Condition Coding Sheet" is prepared for each identified intermediate and

external condition. The likelihood of the various combinations of possible affects of influencing conditions is thoughtfully recorded on this sheet. Once this preparation is complete, information is put into TCC as data. This data, which is named, (in this research, "Theory"), is known as a Computer Consultant System (CCS).

Figure 6 depicts the schematic which was constructed to illustrate the relationships among identified conditions to explore heuristically the likelihood that theory propositions presented in Chapter III are valid. Figure 7 is a sample of the "Condition Description and Influence Table," and Figure 8 is a sample of the "Condition Coding Sheet."

All the conditions which were identified as affecting the goal of "employee behavior contributes effectively to the accomplishment of organizational goals" are identified in Table 11, which presents a list of all external conditions, and a list of all intermediate conditions along with their influences. Table 11 is another way of showing the relationships depicted in Figure 6.

To assist the reader in understanding how all of this was used to explore heuristically the probability of the validity of theory propositions, the input which was utilized for calculating the likelihood that Proposition 3.1 is true is presented.

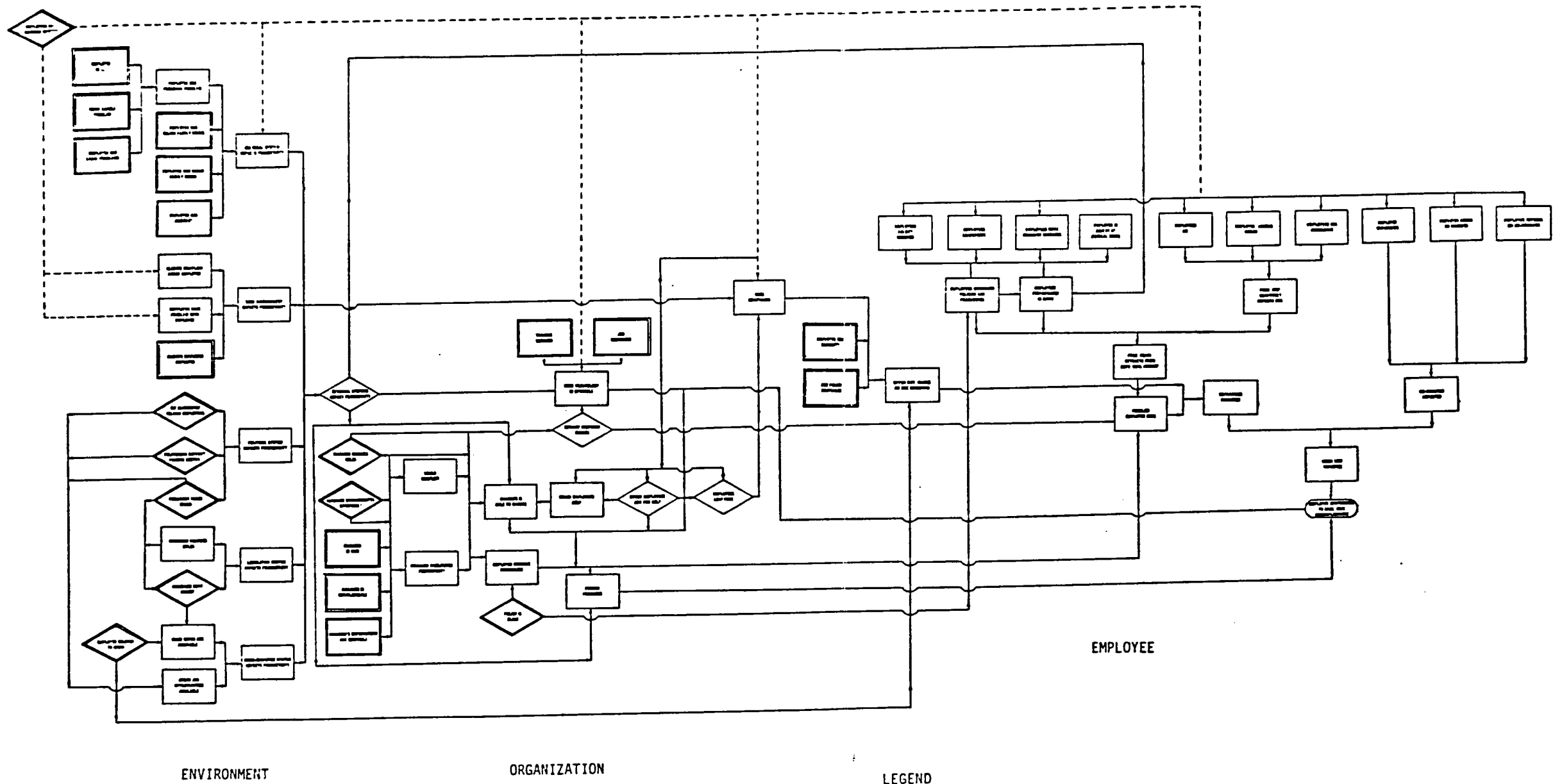








Figure 6
Schematic of "Theory"

- LEGEND**
-  Start
 -  External conditions whose influence goes in more than one direction
 -  Internal conditions whose influence goes in more than one direction
 -  External conditions whose influence goes in only one direction
 -  Internal conditions whose influence goes in only one direction
 -  Goal

ID CODE, SUBJECT, AND ACTION/STATUS (ID CODE NOT MORE THAN 7 CHARACTERS, NOT MORE THAN 50)	1ST ID CODE		2CD ID CODE		3RD ID CODE		TYPE	
	4TH ID CODE	5TH ID CODE	6TH ID CODE	7TH ID CODE	8TH ID CODE	9TH ID CODE		
A1 EMPLOYEE HAS SUCCESS IDENTITY							E	
A2 EMPLOYEE HAS MAJOR FAMILY CRISIS							E	
A3 EMPLOYEE HAS ACCIDENT							E	
A4 EMPLOYEE HAS MINOR FAMILY CRISIS							E	
A5 EMPLOYEE HAS PERSONAL PROBLEM	A	1		A	7	A	5	I
	A	6						
A6 EMPLOYEE IS ILL							E	
A7 HOME CAUSES PROBLEM							E	
A9 CULTURAL SYSTEM IMPACTS PRODUCTIVITY	A	2		A	3	A	4	I
	A	5		A	1			
A11 CLIENTS COMPLAIN ABOUT EMPLOYEE	A	1					I	
A12 SUPPLIERS HAVE PROBLEM WITH EMPLOYEE	A	1					I	

Figure 7. Sample Condition Description & Influence Table

1. IDENTIFICATION (ID) CODE: A25
2. SUBJECT: external systems
3. ACTION/STATUS: impact productivity
4. TYPE (circle): D E **1** G U
5. LONG DESCRIPTION:
6. IF THE "TYPE" OF CONDITION IS:
 FREESTANDING CLIENT DECISION (D): ENTER DECISION (1="FOR" or 0="AGAINST") _____
 INFLUENCED CLIENT DECISION(D): ENTER ID CODE OF PRECEDENT CONDITION _____
 CHECK TYPE:
 NO RECOMMENDATION OR DIRECTIVE TO BE GIVEN
 DIRECTIVE WHEN < = THRESHOLD DIRECTIVE WHEN > = THRESHOLD
 RECOMMENDATION WHEN < = THRESHOLD RECOMMENDATION WHEN > = THRESHOLD
 ENTER THRESHOLD (FROM 0 TO 1) FOR PRECEDENT CONDITION _____
 EXTERNAL(E): ENTER LIKELIHOOD (FROM 0 TO 1) _____
 INTERMEDIATE OR GOAL(I)/(G): FILL OUT TABLE BELOW
 UNSPECIFIED(U): FILL OUT THE CHART BELOW IF CONDITION IS INFLUENCED BY OTHERS.

INFLUENCING CONDITION

Combination	No. ID	1ST A9	2CD A13	3RD A16	4TH A20	5TH A24	CONFIDENCE
1		n	n	n	n	n	0
2		y	n	n	n	n	.33
3		n	y	n	n	n	.15
4		y	y	n	n	n	.48
5		n	n	y	n	n	.1
6		y	n	y	n	n	.43
7		n	y	y	n	n	.25
8		y	y	y	n	n	.58
9		n	n	n	y	n	.1
10		y	n	n	y	n	.43
11		n	y	n	y	n	.25
12		y	y	n	y	n	.58
13		n	n	y	y	n	.2
14		y	n	y	y	n	.53
15		n	y	y	y	n	.35
16		y	y	y	y	n	.68
17		n	n	n	n	y	.25
18		y	n	n	n	y	.53
19		n	y	n	n	y	.4
20		y	y	n	n	y	.73
21		n	n	y	n	y	.35
22		y	n	y	n	y	.68
23		n	y	y	n	y	.5
24		y	y	y	n	y	.83
25		n	n	n	y	y	.35
26		y	n	n	y	y	.68
27		n	y	n	y	y	.5
28		y	y	n	y	y	.83
29		n	n	y	y	y	.45
30		y	n	y	y	y	.78
31		n	y	y	y	y	.6
32		y	y	y	y	y	.93

Note: Enter "0"(zero) for the confidence if the combination is not relevant or applicable.
 Legend: n = influencing condition not in effect; y = influencing condition in effect.

Figure 8: Sample CONDITION CODING SHEET

Table 11

LIST OF CONDITIONS ALONG WITH INFLUENCES

```

=====
CCS: theory          DATE: 02-25-1985          TIME: 00:02:25
=====
ID CODE, SUBJECT, AND ACTION/STATUS
=====
CLIENT DECISION CONDITIONS

```

EXTERNAL CONDITIONS

```

=====
* 1* a2 employee has major family crisis
* 1* a3 employee has accident
* 1* a4 employee has minor family crisis
* 1* a6 employee is ill
* 1* a7 home causes problem
* 1* a10 clients commend employmee
* 2* a14 RIF eliminates fellow employees
* 3* a15 politicians support private sector
* 4* 5 president takes stand
* 2* a22 employee belongs to union
* 2* a27 training received
* 2* a28 job described
* 1* a30 manager's expectations are equitable
* 1* a31 manager is knowledgable
* 2* a32 manager communicates effectively
* 1* a33 manager is fair
* 3* a35 manager changes rules
* 1* a46 EEO Policy constrains
* 1* a47 employee has seniority
* 2* a48 employee is absent at critical times
* 1* a53 employee has legal problems
* 19* a1 employees have success identity
* 2* a37 policy is clear

```

INTERMEDIATE CONDITIONS

```

=====
* 1* a5 employee has personal problem
      a6 employee is ill
      a7 home causes problem
      a53 employee has legal problems
      a1 employees have success identity
* 1* a9 cultural system impacts productivity
      a2 employee has major family crisis
      a3 employee has accident
      a4 employee has minor family crisis
      a5 employee has personal problem
      a1 employees have success identity
* 1* a11 clients complain about employee
      a1 employees have success identity
* 1* a12 suppliers have problem with employee
      a1 employees have success identity
=====

```

Table 11 (cont.)

=====
 * 2* a13 task environment impacts productivity
 a10 clients commend employee
 a11 clients complain about employee
 a12 suppliers have problem with employee
 * 1* a16 political system impacts productivity
 a14 RIF eliminates fellow employees
 a15 politicians support private sector
 5 president takes stand
 a1 employees have success identity
 * 2* a18 congress cuts budget
 5 president takes stand
 * 1* a19 congress changes rules
 5 president takes stand
 a15 politicians support private sector
 * 1* a20 legislative system impacts productivity
 a18 congress cuts budget
 a19 congress changes rules
 * 1* a21 wage rates are equitable
 a18 congress cuts budget
 a22 employee belongs to union
 * 1* a23 other job opportunities available
 a14 RIF eliminates fellow employees
 a15 politicians support private sector
 5 president takes stand
 * 1* a24 socio economic system impacts productivity
 a21 wage rates are equitable
 a23 other job opportunities available
 a1 employees have success identity
 * 3* a25 external systems impact productivity
 a9 cultural system impacts productivity
 a13 task environment impacts productivity
 a16 political system impacts productivity
 a20 legislative system impacts productivity
 a24 socio economic system impacts productivity
 * 1* a26 core technology is operable
 a27 training received
 a28 job described
 a29 deviant response occurs
 a25 external systems impact productivity
 a1 employees have success identity
 * 2* a29 deviant response occurs
 a34 manager facilitates productivity
 a35 manager changes rules
 a36 employee becomes frustrated
 * 4* a34 manager facilitates productivity
 a30 manager's expectations are equitable
 a31 manager is knowledgeable
 a32 manager communicates effectively
 a33 manager is fair
 * 1* a38 goals conflict
 a32 manager communicates effectively
 a35 manager changes rules
 =====

Table 11 (cont.)

=====
 =====PAGE 3====

- * 1* a39 manager is able to manage
 - a34 manager facilitates productivity
 - a25 external systems impact productivity
 - a43 other employees help
- * 1* a40 person produces
 - a39 manager is able to manage
 - a42 other employees ask for help
 - a27 training received
 - a28 job described
 - a36 employee becomes frustrated
- * 3* a42 other employees ask for help
 - a1 employees have success identity
- * 1* a43 other employees help
 - a42 other employees ask for help
- * 2* a44 employees leap frog
 - a42 other employees ask for help
 - a34 manager facilitates productivity
 - a1 employees have success identity
- * 1* a45 boss constrains
 - a44 employees leap frog
 - a13 task environment impacts productivity
 - a1 employees have success identity
- * 1* a49 upper mgt makes ad hoc decisions
 - a45 boss constrains
 - a46 EEO Policy constrains
 - a47 employee has seniority
 - a48 employee is absent at critical times
 - a22 employee belongs to union
- * 1* a50 prob emp negatively impacts org
 - a70 employees lie
 - a72 employees are aggressive
 - a73 employees abuse drugs
 - a75 employees' performance is down
- * 2* a63 problem employee acts
 - a50 prob emp negatively impacts org
 - a29 deviant response occurs
 - a64 prob behav detracts from supv goal accomp
 - a36 employee becomes frustrated
- * 1* a64 prob behav detracts from supv goal accomp
 - a72 employees are aggressive
 - a74 work unit impacted
 - a71 employees exaggerate
 - a75 employees' performance is down
- * 1* a65 employee avoids co workers
 - a1 employees have success identity
- * 1* a66 employee imposes on co workers
 - a1 employees have success identity
- * 1* a67 co workers impacted
 - a65 employee avoids co workers
 - a66 employee imposes on co workers
 - a68 employee withdraws
 - a63 problem employee acts

=====

Table 11.(cont.)

=====PAGE 4=====

- * 1* a68 employee withdraws
 - a1 employees have success identity
- * 1* a69 supervisor impacted
 - a63 problem employee acts
 - a44 employees leap frog
 - a75 employees' performance is down
 - a49 upper mgt makes ad hoc decisions
- * 1* a70 employees lie
 - a1 employees have success identity
- * 2* a71 employees exaggerate
 - a1 employees have success identity
- * 2* a72 employees are aggressive
 - a1 employees have success identity
- * 1* a73 employees abuse drugs
 - a1 employees have success identity
- * 2* a74 work unit impacted
 - a67 co workers impacted
 - a69 supervisor impacted
- * 3* a75 employees' performance is down
 - a77 employees make frequent mistakes
 - a71 employees exaggerate
 - a48 employee is absent at critical times
 - a25 external systems impact productivity
 - a78 employees disregard policies and procedures
- * 1* a76 employees falsify records
 - a1 employees have success identity
- * 1* a77 employees make frequent mistakes
 - a1 employees have success identity
- * 1* a78 employees disregard policies and procedures
 - a76 employees falsify records
 - a37 policy is clear
- * 3* a36 employee becomes frustrated
 - a35 manager changes rules
 - a37 policy is clear
 - a38 goals conflict
 - a34 manager facilitates productivity

GOAL CONDITIONS

a79 employee contributes to orgl goal accomplishment
 a40 person produces
 a74 work unit impacted
 a26 core technology is operable

=====

The Quantity Between the Asterisks is the Number of Conditions Directly Influenced By That Non-Goal Condition.

Proposition 3.1 states "Behavior in the workplace is affected by the employee's interaction with all the systems of which he is a part, only one of which is the organization."

The systems which can influence an employee's behavior were identified as: cultural system, political system, legislative system, socio-economic system, and the organization's task environment. Specific conditions were then identified as comprising these systems. Systems and influencing conditions were recorded on a "Condition Description and Influence Table" an example of which is shown in Figure 4. The logic leading to the likelihood that systems will affect employee behavior considered all possible combinations of the following "if - then" statements:

Regarding the cultural system, if the employee is ill, and/or his home causes problems, and/or he has a legal problem, and/or he does not have a success identity; then the employee has a personal problem. If the employee has a personal problem, and/or he has a major family crisis, and/or he has an accident, and/or he has a minor family crisis, and/or he does not have a success identity; then his cultural system will affect his ability to contribute to the accomplishment of organizational goals.

Regarding the political system, if a RIF eliminates fellow employees, and/or politicians support the private sector, and/or the president takes a stand to cut the agency's budget, and/or the employee does not have a success identity; then the political system affects the employee's ability to contribute to the accomplishment of organizational goals.

Regarding the legislative system, if the president wants the agency's budget cut; then congress is likely to cut the budget; and, if the president supports the private sector, and/or the politicians support the private sector, then congress is likely to change the rules regarding employment in the public sector. If congress cut the budget, and/or changes the rules, then the legislative system affects the employee's ability to contribute to the accomplishment of organizational goals.

Regarding the socio-economic system, if the employee does not belong to a union, and/or congress cuts the budget, then wage rates are not equitable; and/or if a RIF eliminates fellow employees, and/or politicians support the private sector, and/or the president's policy slows the economy, then other job opportunities are not available, and/or if an employee does not have a success identity when these things happen, then the socio-economic system affects

the employee's ability to contribute to organizational goals.

Regarding the organization's task-environment, if an employee does not have a success identity, then clients/customers are likely to complain about an employee, and/or if employees do not have a success identity, suppliers are more likely to complain about an employee, and/or if clients and suppliers complain about an employee and do not commend the employee; then the task environment affects the employee's ability to contribute to the accomplishment of organizational goals.

Thus, regarding Proposition 3.1., if the cultural system and/or the political system, and/or the legislative system, and/or the socio-economic system, and/or the organizations task environment affect the employee's ability to contribute to the accomplishment of organizational goals, then Proposition 3.1 is valid.

With TCC all possible combinations of the "if - then" statements presented above were considered. A sample "Condition Coding Sheet" used for imputing the likely effect of each condition affecting this proposition is shown in Figure 8. From the likelihood of all these conditions occurring, TCC calculated a .35 likelihood that external systems will affect an employee's behavior in the work

place, and led to the conclusion that for 35 per cent of the employees, behavior in the work place will be affected by external systems. It is hypothesized that these 35 per cent are the problem employees.

RESULTS OF TCC IN VALIDATING THEORY PROPOSITIONS

This section presents the TCC calculated likelihoods of the rest of the theory propositions presented in Chapter III. Because of the large number of conditions which were incorporated into TCC and the complexity of relationships identified as determining the likelihood that propositions are valid, as demonstrated above, details of input regarding each proposition are not discussed. To present a discussion of each, with tables showing all possible combinations of conditions which resulted in proposition likelihoods could take as much as 100 pages, so such inclusion is not considered prudent. It is hoped that the figures, tables, and discussion presented to demonstrate how the likelihood of Proposition 3.1 was calculated will serve to describe the complexity and volume of work put into heuristically validating the propositions.

Proposition 3.2. through 3.15, and their resultant likelihoods are presented below.

Proposition 3.2: Within the organization, the identity of any given employee shapes or reshapes all components of the organizational system.

This proposition has a .19 likelihood of occurrence with an employee who has a success identity. This likelihood escalates to .83 with an employee who has a failure identity. Thus, it was concluded that the identity which an employee brings to the work place can, indeed, affect that work place.

Proposition 3.3: Within the organization, the identity which an employee brings to his interactions with other employees affects their attitudes and behavior.

When an employee has a success identity, the likelihood that his behavior would affect co-workers is zero! A failure identity, however, has a .7 likelihood of imposing on other organizational members. When a success identity requires assistance, other employees have a .9 likelihood of helping, but are only .38 likely to assist a failure identity. Thus, it was concluded that employee identity does affect the attitudes and behavior of other employees.

Proposition 3.4: Within the organization, the identity which an employee brings to his interaction with his supervisor affects the supervisor's ability to facilitate goal accomplishment.

The likelihood of the behavior of a success identity detracting from the supervisor's ability to facilitate goal accomplishment is only .11, while a failure identity has a likelihood of .62. Thus, it was concluded that employee identity does make a difference in how successfully a supervisor can accomplish organizational goals.

Proposition 3.5: The identity which an employee brings to his interaction with the organization's core technology affects the accomplishment of organizational goals.

With the success identity, the likelihood of the core technology being operable, whether or not the employee is experiencing troubles, is .86. For the failure identity, however, this likelihood is .101. Thus, it was concluded that an employee's identity does affect the organization's core technology.

Proposition 3.6: The identity which an employee brings to his interaction with the organizational structure pressures upper management into ad hoc reactions which affect the accomplishment of organizational goals.

Whether or not an employee has a success identity appears to have little effect on the reactions of upper management. With a success identity, the likelihood that upper management will react is .24, and with a failure identity, this likelihood is .27. This may be because, employees rarely have access to upper management, so that the problem is handled by the employee's supervisor, who, in effect, shields upper management. Thus, it was concluded that, while an employee's behavior can affect upper management's decisions, this phenomenon is not likely to occur.

Proposition 3.7: The identity which an employee brings to his interaction with organizational policy can change a policy and/or affect the life of the individual employee.

A success identity has a .48 likelihood of disregarding policy and procedures, while a failure identity has a .91 likelihood. Interestingly, however, the likelihood of such action affecting organizational effectiveness is only .19 for the success identity, while it is .83 for the failure identity. Thus, it was concluded that employee identity does affect policy.

Proposition 3.8: The identity which an employee brings to his interaction with his cultural system affects the accomplishment of organizational goals.

The cultural system of a success identity has only a .21 likelihood of affecting the accomplishment of organizational goals, while the cultural system of a failure identity has a .74 likelihood of affecting them. Thus, it was concluded that identity does determine the way in which one deals with the cultural system, and the degree to which problems at home carry over into the workplace.

Proposition 3.9: The identity which an employee brings to his interaction with the organization's task environment affects the accomplishment of organizational goals.

Neither clients nor suppliers are likely to have a problem with a success identity, while there is a .49 likelihood that the interaction of the failure identity with the organization's task environment will affect the accomplishment of organizational goals. Thus, it was

concluded that employee identity does influence client or customer relations.

Proposition 3.10: The identity which an employee brings to his interaction with the socio-economic system affects the accomplishment of organizational goals.

The likelihood of this proposition occurring with a success identity is .01, while with a failure identity it is .70. Thus it was concluded that a failure identity is more likely to be involved in activities outside the organization which will detract from organizational goal accomplishment than is the success identity.

Proposition 3.11: The identity which an employee brings to his interaction with the political and legislative systems affects the accomplishment of organizational goals.

The likelihood of this proposition for a success identity is .17, for a failure identity, it is .53. This may be because the success identity is more likely to be concerned with global issues, and with his own self development when interacting with the political and legislative systems, while a failure identity's motivation will be to use the interaction to advance himself, at the expense of the organization, or interact as a whistleblower, or complainant. Again, it was concluded that identity does make a difference.

Proposition 3.12: Within the organization, problem behavior occurs as an identity response to a life or job crisis.

A success identity has only a .17 likelihood of responding to a crisis with behavior which detracts from organizational goal accomplishment, while a failure identity has a .62 likelihood. This may be because a success identity has developed coping mechanisms which are foreign to the failure identity. Thus, it was concluded that identity does make a difference in the way a person deals with crisis.

Proposition 3.13: Within the organization, the behavior of a problem employee will negatively affect members of the work group.

If problem behavior does occur, the likelihood of a success identity negatively affecting others in the organization is only .29, while for a failure identity this likelihood is .7. This is probably because, as demonstrated in the tables in Chapter III, problem behavior of a success identity will not be violent, nor abusive, as it is likely to be in the case of a failure identity.

Proposition 3.14: Within the organization, members of a work group which contains a problem employee will react with an identity response to that employee's behavior.

When problem behavior occurs, there is a .90 likelihood that persons with a success identity will attempt to assist the problem employee, but only a .40 likelihood that failure identities will attempt to help their co-worker. Thus, it was concluded that identity can determine how other employees respond to a problem employee's behavior.

Proposition 3.15: When a work group is composed of more than one failure identity, negative effects on the organization will multiply exponentially.

When all members of a work group have a failure identity, there is a .92 likelihood that behavior in the organization will detract from goal accomplishment. When only 25 per cent of the organization's employees have a failure identity, the likelihood of their behavior in the organization detracting from goal accomplishment decreases further to .44. When no members of the organization have a failure identity, the likelihood of behavior in the organization detracting from goal accomplishment decreased to .168. Thus, it was concluded that the more members of a work group who have a failure identity, the more likely is behavior to occur which detracts from organizational goal accomplishments.

UTILIZING TCC TO VALIDATE PROPOSITIONS REGARDING THE EFFECTIVENESS OF METHODS OF DEALING WITH THE PROBLEM EMPLOYEE

To utilize the TCC to explore heuristically the validity of propositions regarding the effectiveness of methods of dealing with the problem employee, it was necessary to construct three additional Computer Consultant Systems. First, a CCS was constructed to determine the likelihood that an EAP would eliminate problem behavior of a

referred employee, when all factors which can affect EAP effectiveness were taken into consideration. Next, a CCS, which contained the use of Reality Therapy, and of traditional methods, was constructed to determine the likelihood that either would be effective. Then a CCS which contained both the EAP and the use of Reality Therapy as conditions was constructed. To construct the above CCSS all theory conditions depicted in Figure 5 were input, as were conditions specific to each method. For each a set of "Condition Description and Influence Tables" and "Condition Coding Sheets" were prepared. Since the complexity and volume of work which goes into CCS construction was discussed in explaining the validation of Proposition 3.1, it will not be reiterated here. Rather, only the results of the calculations which explored heuristically the probability that propositions in Chapter IV are true will be presented.

RESULTS OF TCC IN VALIDATING PROPOSITIONS REGARDING THE EFFECTIVENESS OF METHODS FOR DEALING WITH THE PROBLEM EMPLOYEE

Proposition 4.1: Traditional management practices are not effective for dealing with a problem employee.

The likelihood of traditional management practices being effective with a problem employee is only .01, with a

failure identity and .20 with a success identity. Thus, it was concluded that this proposition is true.

Proposition 4.2: The large number of factors which affect an EAP inhibit EAP effectiveness.

To calculate the likelihood of this proposition being true, the human and program management factors which can affect EAP effectiveness (see Table 8) were built into a CCS, with the following results: That policy will be developed by management and union officials is slightly probable, .60, that employees are educated regarding EAP services is probable, .84, and that self-referrals will be made is probable, .78. That supervisors will refer employees for help, however, is not likely, having only a .37 probability of occurrence. That problem employees will be identified early has a .40 likelihood of occurrence. Thus, it was concluded that the complexity of the EAP bureaucracy inhibits EAP effectiveness.

Proposition 4.3: As a result of the problems endemic in the Employee Assistance Program, the Employee Assistance Program is only minimally effective as a means of dealing with the problem employee.

The logic of the calculations leading to the validation of this proposition was as follows: If the need for an EAP is identified, the likelihood of the EAP being implemented is .70. If the EAP is implemented, it has a .55 likelihood of penetration. If the EAP penetrates, there is only a .37

likelihood that supervisors will refer employees. If supervisors refer, the EAP has a .70 likelihood of being utilized. If the EAP is utilized, it has a .71 likelihood of being effective. If it is effective, it has a .59 likelihood of eliminating the problem for which referral was made. Thus, it was concluded that the EAP is only minimally effective as a means for the manager to deal with the problem employee in such a way that the behavior will be changed to that which contributes to organizational goal accomplishment.

Proposition 4.4: Reality Therapy is likely to be effective as a means of dealing with the problem employee.

The likelihood of Reality Therapy being effective in keeping employee behavior oriented to the accomplishment of organizational goals is .7 with a failure identity and .69 with a success identity. Since the use of Reality Therapy is completely at the discretion of the manager, extraneous factors do not affect its utilization. Thus, it was concluded that Reality Therapy is an effective means of dealing with the problem employee.

Proposition 4.5: An employee with severe behavioral problems will be more effectively helped if a manager utilizes both Reality Therapy and an Employee Assistance Program.

If a combination of Reality Therapy and the EAP is used in dealing with an employee who is exhibiting problem

behavior, the likelihood of the combination of the two being effective is .84 with a success identity employee, and .45 with a failure identity. That the two together are more effective with a success identity than either alone may be because an EAP referral would precipitate a personal reassessment by a success identity who would be predisposed to cooperating for the good of himself and the organization. That the two in combination are less effective with a failure identity than is either alone was a surprising result. It is speculated, however, that this result could be expected to occur because the failure identity has no coping mechanisms for crisis except to act out in some way. Since the manager is using Reality Therapy as a confrontation technique to facilitate behavioral change, and the EAP requires confrontation for referral, this may be more than the failure identity can reasonably handle, and ergo, his behavior worsens. Thus, it was concluded that a manager who wishes to maximize goal accomplishment when faced with a problem employee, will use both Reality Therapy and an EAP with a success identity, and only one of the methods with a failure identity.

SENSITIVITY ANALYSIS

After the likelihoods of the articulated propositions were calculated, sensitivity analysis was performed to determine the elasticity of the response of the goal condition to a 1 per cent change in external conditions. Results of these analyses are presented in Tables 12, 13, and 14.

Table 13 presents the elasticities of the goal condition "employee contributes to organizational effectiveness," with the various external conditions which can create a crisis in an employee's life. Here the difference between the extent to which the goal is effected when the employee has a failure or success identity is negligible. What does seem to be of significance is the actions a manager takes, for which elasticities are shown in Table 14. Table 14 presents the elasticities of the goal condition with the various techniques a manager can use to facilitate employee contribution to organizational effectiveness. Here it should be noted that the only negative elasticity occurs when a manager change the rules, i.e., when a manager abruptly changes his own behavior, his own expectations, or elements of the employee's job. The most highly sensitive response of the goal occurs when a manager uses Reality Therapy, however, it should also be

TABLE 12

Goal With the External Conditions Which Can Impact An
Employee's Life

The elasticity of

Employee Contributes to Organizational Effectiveness

with

	Failure Identity	Success Identity
Employee has major family crisis	-.0023	-.0022
Employee has accident	-.0039	-.0075
Employee has minor family crisis	-.0034	-.0084
Employee is ill	-.0017	-.0089
Home causes problem	-.0015	-.0099
Employee has legal problem	-.0054	-.0029

TABLE 13

Goal With the Techniques a Manager Can Use To Facilitate
Contribution

The elasticity of

Employee contributes to organizational effectiveness

with

	Failure Identity	Success Identity
Employee receives training	.0052	.0039
Employee has a job description	.0054	.0039
Manager communicates effectively	.0011	.0012
Manager is fair	.0023	.0026
Manager is knowledgeable about job	.0069	.0077
Manager changes rules	-.0039	-.0031
Manager uses Reality Therapy	.591	.554
Manager uses Reality Therapy and an EAP	.00427	.459

TABLE 14

Elasticity of "Problem Eliminated" With the Factors Which
Can Impact An EAP

The elasticity of Problem eliminated with	
Need for EAP identified	.00767
Management/union committee established	.00149
History of good management/union relations	.00423
Insurance coverage available	.00842
Manager uses good human relations techniques	.00258
EAP personnel have credibility	.00196
Supervisor is accountable for recognizing problem employee	.00132
EAP personnel aware of work place reality	.00134
Organization has competent Training Dept.	.00122
Recognition of problem employee is part of supervisor's job description	.00534
Organization requires performance evaluation	.00772
EAP goals are compatible with organizational goals	.00169
Legitimate signs that problem behavior is work-related	.00440
EAP supports the supervisor	.00192
EAP is publicized	.00236
Treatment facilities are available	.00262
Discrimination exists	-.00914
Clean slate guaranteed	.033
EAP is easily accessible	.00551
EAP provides anonymity	.00118
EAP provides confidentiality	.00118
Supervisor is the problem employee	-.00793
EAP provides services	.248
EAP has prevention component	.135
EAP is full time	.00356
EAP is successful	.192

noted that when an employee has a failure identity, the goal condition is less sensitive to manager's actions.

Table 15 presents the elasticities of the goal condition, "problem eliminated" with the various factors which can affect an EAP. It shows that the factors which have the greatest degree of influence on eliminating the problem are the guarantee of a clean slate if the employee participates in an EAP, a prevention component within the EAP, and a history of success which gives the EAP credibility in the employee's eyes.

A final elasticity, so close to zero and not presented in the tables, but worth noting, is the elasticity of the goal condition, "Employee contributes to organizational effectiveness," with the condition, "Employee is absent at critical times." For a success identity, this elasticity is $-.03$, and for the failure identity, the elasticity is $-.09$. Thus, absences of the failure identity have a greater affect on accomplishing organizational goals than do the absences of the success identity. This may be because a success identity is more responsible, and therefore, more likely to catch up work which has gotten behind because of an absence.

SUMMARY

This chapter has explained the research design and the use of The Computer Consultant which was demonstrated to be a viable means of heuristically exploring the probability that theory and method-effectiveness propositions are valid. Reasons this research can be considered to be both reliable and valid were discussed. Use of the TCC and results of TCC calculations were presented, along with the conclusions which were drawn from these results.

The next chapter is the final one. It will synthesize the results of the research, and discuss implications for managers.

Chapter VI

SUMMARY AND SYNTHESIS

The purpose of this chapter is to synthesize the results of the research presented in this dissertation, and to discuss the implications of these results for managers. To do this, a brief summary of each chapter will be presented. Conclusions will be drawn, then managerial implications will be discussed.

CHAPTER SUMMARIES

Chapter I has provided a dissertation overview. In it, the purposes of the research were identified as developing, from a manager's perspective, a theory of the person-at-work which recognizes the problem employee, and to determine if management intervention in the form of Reality Therapy as a means of preventing and/or alleviating the problem is possible and practical. A "problem employee" was defined as an employee whose behavior in the work place causes reduced productivity, and lowered morale for self, co-workers and supervisor; and, in so doing, detracts from organizational effectiveness and the accomplishment of organizational goals. In considering the problem employee, it was recognized that a manager, when faced with such an employee,

must resolve difficult philosophical issues, the resolution of which can be attained from a utilitarian perspective. Following the discussion of philosophical issues, the different paradigmatic perspectives from which research can be conducted were presented, with reasons given for choosing the functionalist paradigm as the approach used in this dissertation. Finally, the research, and resultant theory development, was demonstrated to be an important contribution to public administration and management literature because of the plethora of problems in the work place which are not amenable to solution by traditional practices. Thus, the ground work was laid for the research presented in the dissertation, and the resultant theory development.

Chapter II presented a review of the literature on problem employees and demonstrated that both management and public administration, in general, have a gap where the problem employee is concerned. This chapter categorized the literature in four ways: 1) the manager's perspective, 2) the employee's perspective, 3) advice for the manager, and 4) understanding the problem employee. A discussion of the identified lacunae in public administration and management was then presented. These lacunae were identified as: 1) a failure to recognize identity differences which can be

demonstrated to exist among human beings, 2) a tendency to take a cause/effect approach to dealing with the problem employee, 3) a failure to recognize that employees do not exist in a vacuum, but rather, are creators of dynamic forces which can de-stabilize organizational equilibrium, and 4) a failure to develop theory or conduct research in the area of problem employees. To demonstrate the federal government's concern over the existence of problem employees in the federal work force, research findings of the Merit Systems Protection Board (MSPB) were presented. The chapter summary noted that the literature review demonstrated that there is a "concerted ignorance on how to identify and cope with the problem employee."

Chapter III is the heart of the dissertation for it presented an original theory of the person-at-work which addresses the reality of the problem employee as a member of the work force, and demonstrates that the notion that all employees can be consistently productive is unrealistic. Using information obtained from cases which came before the MSPB, and relying on the researcher's experience and grounding in the literature, an Interactive-Holistic theory of person-at-work was offered. This theory was developed inductively from the stream of counseling psychology emanating with Alfred Adler and culminating with William

Glasser's Reality Therapy which can be linked to the conceptual stream of management engendered by Chester Barnard. The Interactive-Holistic theory of person-at-work requires that each employee be viewed in the totality of which he is a part. It explains behavior in the work place with the following set of inter-related propositions:

Proposition 3.1: Behavior in the work place is affected by the employee's interaction with all of the systems of which he is a part, only one of which is the organization.

Proposition 3.2: Within the organization, the identity of any given employee shapes or reshapes all the components of the organizational system.

Proposition 3.3: Within the organization, the identity which an employee brings to his interactions with other employees affects their attitudes and behavior.

Proposition 3.4: Within the organization, the identity which an employee brings to his interaction with his supervisor affects the supervisor's ability to facilitate goal accomplishment.

Proposition 3.5: The identity which an employee brings to his interaction with the organization's core technology affects the accomplishment of organizational goals.

Proposition 3.6: The identity which an employee brings to his interaction with the organizational structure pressures upper management into ad hoc reactions which affects the accomplishment of organizational goals.

Proposition 3.7: The identity which an employee brings to his interaction with organizational policy changes a policy and/or affects the life of the individual employee.

Proposition 3.8: The identity which an employee brings to his interaction with his cultural system affects the accomplishment of organizational goals.

Proposition 3.9: The identity which an employee brings to his interaction with the organization's task environment affects the accomplishment of organizational goals.

Proposition 3.10: The identity which an employee brings to his interaction with the socio-economic system affects the accomplishment of organizational goals.

Proposition 3.11: The identity which an employee brings to his interaction with the political and legislative systems affects the accomplishment of organizational goals.

Proposition 3.12: Within the organization, problem employee behavior occurs as an identity response to a life or job crisis.

Proposition 3.13: Within the organization, the behavior of a problem employee will negatively affect other members of the work group.

Proposition 3.14: Within the organization, members of a work group which contains a problem employee will react with an identity response to the problem employee's behavior.

Proposition 3.15: When a work group is composed of more than one "failure identity," negative effects on the organization will multiply exponentially.

This theory demonstrates that no employee can be considered as an isolated entity which sheds environmental influences when entering the organizational setting, and which is immune to the impingement of environmental forces on productivity. The theory also illustrates how the

employee counters the forces which bombard him or her with survival behaviors which are rooted in a personal identity. This identity will be success or failure oriented depending on the person's need-fulfilling mechanisms which are developed and ingrained outside the world of work. To see the person-at-work in this context is to allow for, and indeed, expect, the existence of the problem employee in the work-force. Once this was put in perspective, it was possible to address the second goal of the research, which was to determine if management intervention with problem employees is feasible.

Chapter IV first discussed current methods of dealing with the problem employee. These were identified as traditional management practices and the Employment Assistance Program (EAP). Traditional management practices were demonstrated to be ineffective means of dealing with the problem employee. The EAP was demonstrated to be slightly more effective than traditional practices, but a number of inadequacies in the EAP were identified. Next, Reality Therapy was presented as an alternative strategy for dealing with the problem employee. It was demonstrated that Reality Therapy does not purport to deal with the troubles an employee may be having, and that its purpose is not to help the manager "solve" an employee's problem. Rather,

Reality Therapy was presented as an on-going strategy which allows for the confrontation of problem behavior early-on, and permits the manager and employee to plan jointly the steps to be taken toward increasing the employee's contribution to organizational goals. Reality Therapy was also presented as a self-help technique for a manager to utilize in alleviating the pain which he may experience when he is confronted with a problem employee. A comparison of Reality Therapy with the EAP demonstrated that Reality Therapy does not have the inadequacies of the EAP. It was recognized, however, that, in some instances, Reality Therapy used in conjunction with the EAP will be more effective than either method alone. Five additional propositions were developed in Chapter IV. They are:

Proposition 4.1: Traditional management practices are not effective for dealing with the problem employee.

Proposition 4.2: The large number of factors which can affect an EAP inhibit EAP effectiveness.

Proposition 4.3: As a result of the problems endemic in the Employee Assistance Program, the Employee Assistance Program is only minimally effective as a means of dealing with the problem employee.

Proposition 4.4: Reality Therapy will be effective as a means of dealing with the problem employee.

Proposition 4.5: An employee with severe behavioral problems will be more effectively helped if a manager utilizes both Reality Therapy and the EAP.

Chapter V presented the methodology used to heuristically explore the probability of the validity of the propositions developed in Chapters III and IV. For purposes of examining the propositions and determining the likelihood of their validity, The Computer Consultant (TCC) was utilized. This computer model outlined the logic of relationships among the many conditions which can affect an individual in the work place and determined the probability that theory propositions were true. Its use forced the researcher to think rigorously and systematically through the effects which various conditions can have on the accomplishment of organizational goals. The TCC then calculated the likelihood of the conditions occurring. The results of these calculations indicated that theory propositions were likely true, and that employee identity is a significant contributing factor to behavior in the work place.

CONCLUSIONS

The existence of the problem employee in the work force appears as a fundamental problem for managers - a problem which traditional theory has failed to address. This failure has left managers bereft of strategies and techniques for dealing with a problem employee when one does

exist. This failure has also placed an unfair burden on the manager, who, when faced with a problem employee, has been forced into an examination of conscience, and a "mea culpa, mea culpa" response, which has been demonstrated to be natural, but unnecessary. Failure to address an issue, however, does not lead logically to the assumption that the issue does not exist.

While it is recognized that traditional management strategies can be effective with the typical employee, it has also been demonstrated that, if that employee becomes a problem, traditional practices simply provide no solution, especially when that employee has a failure identity. In order to demonstrate this point, a new, broad-based, and more realistic theory of the person-at-work was developed and offered in place of the traditional "contractual-instrumental" conceptualization of employees. Called the Interactive-Holistic theory, this theory was grounded in observations and experiences and provides an organic union of the conceptual streams of psychology and management. This union permits an understanding of employee behavior in the work place and determination of effective management actions.

This research and theory development has led to the conclusion that problem employees do exist. This conclusion

may seem startling in its simplicity, and appears so obvious as to be self-evident. In actual fact, however, this is a concept which public administration and management theorists have over-looked. Thus the identification and classification of the problem employee is an original contribution.

While it is recognized that the EAP is an implicit indicator that professionals outside the field of management and public administration have recognized that employees may exhibit problem behaviors in the work place, it is also evident that they have not made the connection between behavior and the affect of that behavior on organizational performance nor have they provided the manager with any tool for dealing with the problem employee within the organization. The concern of the EAP professionals is to deal with an employee's troubles, not with assisting the manager.

This dissertation has demonstrated that employees do not exist merely as creatures of the organizational environment, but, also, bring experiences outside the work place and personal identity types into their interactions with organizational members and with the organization's environment. Thus, the manager has been provided with a concept which will make him less likely to blame himself

when problems occur, and, therefore, make him more able to take preventative and remedial action to maintain the organization and its production processes.

Once the conclusion that management action can be taken to prevent and deal with problem employees was reached, the research explored the types of action which can be taken, then, using TCC, conducted a heuristic exploration of the probability that any of these actions will be viable. Results of TCC calculations led to the following conclusions, which support the propositions presented in Chapter III and IV.

Approximately 35 per cent of the work force is likely to become a problem employee at some time. Whether, or not, an employee becomes a problem will be influenced by the identity which the employee brings to interactions with both the organization and the other systems of which he is a part. Because traditional management theory ignores the concept of identity, it is of limited value as a guide for dealing with the problem employee. Because the EAP is affected by so many extraneous factors, and, is, usually, apart from the organization, the EAP is only minimally effective as a means of dealing with the problem employee. While individual counselors within the EAP may, or not, recognize the identity concept, the EAP movement has

provided no assistance to the manager in recognizing identity responses, nor has it provided the manager with the skills necessary to cope with self or with other organizational members when a problem employee exists in the work unit. Thus, it was concluded that none of the solutions offered the manager will be as effective as his own use of Reality Therapy.

Reality Therapy provides the manager with a means of assisting the problem employee to plan a way of changing behavior. It also provides the manager with a way to assist other employees who are not "problems" in planning for the achievement of organizational goals, and, very importantly, Reality Therapy provides the manager a means of self-help for his daily interactions with the work force, in general, and the problem employee, in particular. Thus, it was concluded that managers can act to change the behavior of a problem employee, and that Reality Therapy will be the most effective action to take.

IMPLICATIONS FOR THE MANAGER

In presenting the Interactive-Holistic theory which explains behavior in the work place as an identity response, this dissertation has implied that a manager can learn to recognize identity types. In demonstrating the likely

effectiveness of Reality Therapy, this dissertation has also implied that a manager can learn Reality Therapy. Since the concept of identity is so inter-related with the practice of Reality Therapy these implications will be discussed together.

Reality Therapy can be learned. Like most skills, it becomes easier, and more effective, over time. Basic to "doing" Reality Therapy, is understanding the basic identity types, and recognizing that the goal of the Reality Therapist is to move the individual along the identity continuum (see Figure 3) from failure toward success behaviors. Achieving this movement requires that the manager memorize and implement the steps of Reality Therapy by following a procedure such as is outlined in the flow chart in Figure 4. The rudiments of Reality Therapy can be self-taught, but, to develop skill in understanding and using its nuances, training is required. For this purpose, professional consultants are necessary.

An alternative to bringing consultants into the organization would be to incorporate Reality Therapy into the organization behavior curriculum of management and public administration programs. This curriculum incorporation is now taking place in some schools of Family Practice Medicine (Evans, 1984), and the model used in these

schools could be readily adapted for organization behavior programs. It requires a one quarter (or semester) class in Reality Therapy, which includes teaching the basic concepts, and allowing for supervised practice in the class room. Those who want to refine their skills further take another term practicum, or internship. Thus, with relatively little training, a manager can learn Reality Therapy.

The reader, who views the use of Reality Therapy, by the manager as unethical, is referred to pages 6-11 of this dissertation in which philosophical issues are discussed and utilitarianism presented as the ethical stance from which this dissertation is written. Utilitarianism was chosen because it allows the manager to put the good of all of the members of the organization above any individual and to take actions which will promote that overall good. To consider a manager working to advance the purpose of the organization as unethical is naive. For a manager who does not lead, motivate and facilitate employee contributions to the organization simply does not manage.

From the days of Luther Gulick and POSDCORE through Barnard, Selznick and the motivation and leadership theorists, a call has been issued to managers to act in a way that will facilitate employee contributions to organizational purpose. Although different theorists may

present diverse tools for this purpose, the bottom line of management is that the person in the managerial position is responsible for directing/motivating/leading employees in the execution of job activities or completion of projects. Not only is the manager responsible for getting a job done, the manager is accountable for the results of employee activity. Perhaps it is thus inevitable that managers seek techniques which will result in productive employees. Reality Therapy has been offered as such a technique.

RECAPITULATION

Dealing with the problem employee appears as a fundamental problem for the manager, and coping with the problem employee, a necessary management skill. While every employee is not, and should not be expected to become, a problem employee, approximately 35 per cent of the work force may become problem employees. Their problem behavior is precipitated by an identity response to a life or job crisis which prompts them, at least for a time, to place the accomplishment of personal goals over the accomplishment of organizational goals. Yet, as Thompson (1967), in his treatise on organizations concluded, "whatever the private motives of individual members, they must be translated into an organizational...set of responsibilities which members

and others can recognize as organizational purpose." To accomplish this translation is what Barnard (1938) calls "the function of the executive," and requires better management in both the public and private sectors.

How this function can be carried out is a subject which has long perplexed both academicians and practitioners in the public and private sectors. This perplexity is evidenced by the proliferation of organizational behavior theories and techniques, all, of which, are effective part of the time; but, none, of which, have recognized the identity differences inherent in human beings, as being key to understanding behavior in the work place. This dissertation has opened the door for such recognition, then provided Reality Therapy as a means by which the manager can more effectively perform "the function of the executive."

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Appendix A
CASE SURVEY CODING INSTRUMENT

CASE SURVEY
CODING INSTRUMENT

Case #: _____

THE PROBLEM EMPLOYEE

Coding Categories

3 = frequently/always
2 = often
1 = rarely/never
0 = not indicated

Amount of Confidence

3 = behavior described
2 = behavior implied
1 = behavior suspected
0 = not indicated

DIMENSION: ATTENDANCE

<u>Evidence</u>	<u>Coding Category</u>	<u>Confidence</u>
1. Tardiness	_____	_____
2. Lunch breaks extended	_____	_____
3. Unexplained absences	_____	_____
4. Use of sick leave	_____	_____
5. Use of Annual leave	_____	_____
6. Employee is absent at critical times.	_____	_____

DIMENSION: GENERAL BEHAVIOR

7. Complaints by fellow workers	_____	_____
8. Employee lies.	_____	_____
9. Employee withdraws/begins to avoid associates.	_____	_____
10. Employee undermines supervisor/ (goes over supv.'s head or behind back)	_____	_____
11. Employee over-reacts to real or imagined criticism.	_____	_____
12. Employee complains of not feeling well.	_____	_____

- | | | |
|---|-------|-------|
| 13. Employee borrows money
from co-workers. | _____ | _____ |
| 14. Employee has legal problems. | _____ | _____ |
| 15. Employee has drinking problem. | _____ | _____ |
| 16. Employee exaggerates work
accomplishments. | _____ | _____ |
| 17. Employee statements
undependable. | _____ | _____ |
| 18. Employee has repeated minor
accidents on or off job. | _____ | _____ |
| 19. Employee harbors resentment. | _____ | _____ |
| 20. Employee is belligerent. | _____ | _____ |
| 21. Employee is aggressive. | _____ | _____ |
| 22. Domestic problems interfere. | _____ | _____ |
| 23. Employee charged with
sexual mis-conduct. | _____ | _____ |
| 24. Employee has taken money or
office property. | _____ | _____ |
| 25. Employee has falsified records. | _____ | _____ |
| 26. Employee wages garnisheed. | _____ | _____ |
| 27. Employee refuses to discuss
problems. | _____ | _____ |
| 28. Employee is undependable. | _____ | _____ |
| 29. Employee's appearance
deteriorating. | _____ | _____ |
| 30. Employee in personal crisis
(death, divorce, etc.) | _____ | _____ |
| 31. Employee comes to work drunk. | _____ | _____ |
| 32. Employee using drugs. | _____ | _____ |

DIMENSION: JOB PERFORMANCE

- 33. Employee misses deadlines. _____
- 34. Employee makes frequent mistakes. _____
- 35. Job performance down. _____
- 36. Negligence causes equipment breakdown. _____
- 37. Other employee help/cover for. _____
- 38. Employee is insubordinate. _____
- 39. Employee disregards policies and procedures. _____

DIMENSION: SUPERVISOR'S BEHAVIOR

- 40. Supv. has documented problems. _____
- 41. Supv. has discussed problems with employee. _____
- 42. Supv. took disciplinary action. _____
- 43. Supv. counseled employee. _____
- 44. Supv. referred employee for counseling. _____
- 45. Supv. restructured job. _____
- 46. Supv. sought counsel from top mgt./attorney. _____
- 47. Supv. & emp. set goals for correcting problem. _____
- 48. Supv. threatened termination. _____
- 49. Supv. reports "good" relation with employee. _____
- 50. Supv. accused of discrimination. _____
- 51. Emp. blames supv. for problem. _____

52. Supv. accused of sexual harrassment. _____
53. Supv. has used CD or other change efforts. _____

DIMENSION: ORGANIZATIONAL CONSTRAINTS

54. Supv. followed agency procedures. _____
55. Union constrained supv. _____
56. EEO policy constrained supv. _____
57. Supv.'s boss constrained supv. _____
58. Personnel office constrained supv. _____
59. Employee's goals conflict with supv.'s. _____
60. Supv. accused of changing rules/job. _____
61. Emp. claims inadequate training. _____
62. Emp. claims supv. expects more than job description. _____

DIMENSION: EMPLOYEE CHARACTERISTICS

63. Employee age. _____
- | | | | | | |
|--|-------|-------|-------|-------|----|
| | 18-30 | 31-40 | 41-50 | 51-60 | 61 |
|--|-------|-------|-------|-------|----|
64. Employee sex. _____
- | | | |
|--|------|--------|
| | male | female |
|--|------|--------|
65. Employee race. _____
- | | | | | | | |
|--|-------|-------|----------------|-------|--------------|-------|
| | white | black | Spanish origin | Asian | Amer. Indian | other |
|--|-------|-------|----------------|-------|--------------|-------|
66. Employee grade. _____
- | | | | | | | |
|--|-----|------|-------|-------|-----|-----------|
| | 1-5 | 6-10 | 11-15 | 16-18 | SES | not given |
|--|-----|------|-------|-------|-----|-----------|

----- GENERAL BEHAVIOR

----- JOB PERFORMANCE

----- SUPERVISORY BEHAVIOR

----- ORGANIZATIONAL CONSTRAINTS

----- EMPLOYEE CHARACTERISTICS

Appendix B
GUIDE FOR LIFE STYLE ASSESSMENT

1. What is the person's statement of the problem?
2. What has the person done to overcome the deficiency?
3. What is the relationship of what the person has done to cooperation (with the supervisor)?
4. On what does the person appear unprepared to solve the problem?
5. How has the person evaded the problem?
6. How has the person arranged to feel superior even when evading the problem?
7. What can you learn about the person's past history which might explain how he/she deals with problems?

Appendix C

"ULTRA-DISCIPLINARY" METHODS

SUGGESTED TABLE OF ACTIONS

Nature of Offense	1st Offense	2nd Offense	3rd Offense
1. Attendance-related offenses			
a. Unexcused Tardiness This includes delay in reporting at the scheduled starting time, returning from lunch or break periods, and returning after leaving work station on official business. Penalty depends on length and frequency of tardiness. 4th offense typically may warrant 5-day suspension to removal.	Oral admonishment	Oral admonishment to 1-day suspension	Oral admonishment to 5-day suspension
b. Absence without leave (AWOL) These penalties generally do not apply to AWOL charged for tardiness of 1/2 hour or less. (See 1a above.) This offense includes leaving the work station without permission. Penalty depends on length and	Reprimand to 5-day suspension	1-day to 14-day suspension	5-day suspension to removal

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frequency of absences. Removal may be appropriate for a 1st or 2nd offense if the absence is prolonged.

c. Failure to follow established leave procedures	Reprimand to 5-day suspension	1-day to 5-day suspension	5-day suspension to removal
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2. Breach of safety regulation or practice

a. Where imminent danger to persons or property is not involved	Reprimand to 1-day suspension	1-day to 14-day suspension	5-day suspension to removal
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b. Where imminent danger to persons or property is involved	Reprimand to removal	30-day suspension to removal	Removal
---	----------------------	------------------------------	---------

"Persons" includes "self." Penalty depends on seriousness of injury or potential injury and extent to property. Safety regulations may include requirements to report accident or injury.

3. Breach of security regulation or practice.

a. Where restricted information is not compromised and breach is unintentional	Reprimand to 5-day suspension	1-day to 14-day suspension	5-day suspension to removal
--	-------------------------------	----------------------------	-----------------------------

b. Where restricted information is compromised and breach is unintentional	Reprimand to removal	30-day suspension to removal	Removal
c. Deliberate violation	30-day suspension to removal	Removal	

4. Offenses related to intoxicants

Actions involving these offenses should be reviewed to insure the requirements of drug & alcohol abuse programs are met

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a. Alcohol-related:

(1) Unauthorized possession of alcoholic beverages while on Government premises or in duty status	Reprimand to 5-day suspension	5-day to 14-day suspension	14-day suspension to removal
(2) Unauthorized use of alcoholic beverages while on Government premises or in duty status	Reprimand to 14-day suspension	14-day to 30-day suspension	30-day suspension to removal
(3) Reporting to or being on duty while under the influence of alcohol	Reprimand to 30-day suspension	14-day suspension to removal	Removal
(4) Sale or transfer of an alcoholic beverage while on Government premises or in a duty status or while any person	Reprimand to removal	Removal	

involved is in a
duty status

b. Drug-related:

(1) Unauthorized possession of a drug or controlled substance while on Government premises or in a duty status	5-day to 30-day suspension	14-day suspension to removal	Removal
(2) Unauthorized use of a drug or controlled substance while on Government premises or in a duty status	14-day to removal	30-day suspension to removal	Removal
(3) Reporting to or being on duty while under the influence of a drug or controlled substance	30-day suspension to removal	Removal	
5. Making false, malicious or unfounded statements against coworkers, supervisors, subordinates, or Government officials which tend to damage the reputation or undermine the authority of those concerned	Reprimand to removal	14-day suspension to removal	30-day suspension to removal
6. Abusive or offensive language, gestures or other conduct [also see "Discourtesy," #7 below]	Reprimand to 10-day suspension	5-day suspension to removal	30-day suspension to removal
7. Discourtesy	Oral admon-	Reprimand	1-day to

Penalty for 4th offense within one year may be 14-day suspension to removal	ishment to 1-day suspension	to 5-day suspension	10-day suspension
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8. Stealing, actual or attempted; unauthorized possession of Government property or property of others			USE ONLY
a. Where substantial value is not involved	Reprimand to removal	Reprimand to removal	5-day suspension to removal
b. Where substantial value is involved	14-day suspension to removal	Removal	
9. Using Government property or Government employees in duty status for other than official purposes	Reprimand to removal	1-day suspension to removal	14-day suspension to removal
<p>Penalty depends on the value of the property or amount or employee time involved, the nature of the position held by the offending employee, and other factors.</p> <p>For misuse of Government vehicles, see #31.</p>			
10. Misuse of official Government credential	Reprimand to removal	5-day suspension to removal	14-day suspension to removal
11. Deliberate misrepresentation,	Reprimand to removal	1-day suspension to removal	5-day suspension to removal

falsification, exaggeration, concealment or withholding of a material fact, or refusal to testify or cooperate in an official proceeding

removal

removal

12. Loss of or damage to Government property, records, or information [also see #28]	Reprimand to 14-day suspension	Reprimand to removal	14-day suspension to removal
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Penalty depends on value of property or extent of damage, and degree of fault attributable to employee

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13. Offenses relating to fighting

USE ONLY

Penalty depends on such factors as provocation, extent of injuries, and whether actions were defensive or offensive in nature.

a. Threatening or attempting to inflict bodily harm	Reprimand to 14-day suspension	14-day to removal	30-day suspension to removal
b. Hitting, pushing or other acts against another without causing injury	Reprimand to 30-day suspension	30-day to removal	Removal
c. Hitting, pushing or other acts against another causing injury	30-day suspension to removal	Removal	

14. Delay in carrying out or failure to carry out instruction in a reasonable time	Reprimand to removal	Reprimand to removal	5-day suspension to removal
15. Insubordinate defiance of authority, disregard of directive, refusal to comply with proper order	Reprimand to removal	5-day suspension to removal	Removal
16. Sleeping, loafing, or failure to attend to duties			
a. Where no danger to persons or property is involved	Oral admonishment to 1-day suspension	Reprimand to 5-day suspension	5-day suspension to removal
b. Where danger to persons or property is involved	Reprimand to removal	14-day suspension to removal	30-day suspension to removal
17. Negligent performance of duties			
a. Where wastage or other cost is insubstantial	Oral admonishment to reprimand	Reprimand to 5-day suspension	5-day to 30-day suspension
b. Where wastage or other cost is substantial	1-day to 5-day suspension	5-day suspension to removal	30-day suspension to removal
18. Offenses related to gambling			
a. Participating in unauthorized gambling activity while on Government premises or in duty status	Oral admonishment to reprimand	1-day to 5-day suspension	5-day to 3-day suspension
b. Operating, assisting, or promoting	14-day suspension to	Removal	

ing an unauthorized removal
 gambling activity while on
 Government premises or in a
 duty status or while others in-
 volved are in a duty status

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19. Participating in a Removal
 strike, work stop-
 age, slowdown, sick-
 out, or other job
 action

20. Indebtedness where
 agency operations Oral admon- Reprimand 5-day sus-
 or reputation are ishment to to 5-day pension to
 affected reprimand suspension removal

Offenses related to Supervisory/Managerial
 Observance of Employee Rights

21. Sexual harrassment Reprimand 5-day sus- 30-day sus-
 to removal pension to pension to
 removal removal

22. Discrimination Reprimand 5-day sus- 30-day sus-
 based on race, to removal pension to pension to
 color, sex, reli- removal removal
 gion, national
 origin, age, mari-
 tal status, poli-
 tical affiliation,
 or handicap

23. Interference with Reprimand 5-day sus-
 an employee's ex- to removal pension to
 ercise of, or re- removal
 prisal against an
 employee for exer-
 cising, a right to
 grieve, appeal or
 file a complaint
 through established
 procedures

24. Reprisal against 30-day sus- Removal

an employee for providing information to an Office of Inspector General (or equivalent) or the Office of Special Counsel, or to an EEO investigator, or for testifying in an official proceeding

pension to removal

25. Reprisal against an employee for exercising a right provided under 5 U.S.C. 7101 et seq. (governing Federal labor-management relations)	Reprimand to removal	5-day suspension to removal	30-day suspension to removal
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26. Violation of an employee's constitutional rights (i.e., freedom of speech/association/religion)	Reprimand to removal	5-day suspension to removal	30-day suspension to removal
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Offenses Proscribed in Statute

27. Finding by MSPB of refusal to comply with MSPB order or of violation of statute causing issuance of Special Counsel complaint [5 U.S.C. 1206 (q) (1) and 1207 (b)]	Reprimand to removal
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28. Directing, expecting or rendering services not covered by appropriations [5 U.S.C. 3103]	Removal
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29. Prohibited political activity

a. Violation of prohibition against political contributions [5 U.S.C. 7323]	Removal
b. Violation of prohibition against campaigning or influencing elections [5 U.S.C. 7324 and 7325]	30-day suspension to removal
30. Failure to deposit into the Treasury money accruing from lapsed salaries or from unused appropriations for salaries [5 U.S.C. 5501]	Removal FCR INSTRUCTIONAL USE ONLY
31. Soliciting contributions for a gift for a superior; making a donation as a gift to a superior; accepting a gift from an employee receiving less pay [5 U.S.C. 7351]	Removal
32. Action against national security [5 U.S.C. 7532]	Suspension or removal
33. Willfully using or authorizing the use of a government passenger motor vehicle or aircraft for other than official purposes [31 U.S.C. 638a(c) (2)]	1-month suspension to removal
34. Mutilating or destroying a public record [18 U.S.C. 2071]	Removal

Appendix D
GUIDELINES FOR ESTABLISHING AN EAP

THE NABET LOCAL #1 EMPLOYEE ASSISTANCE POLICY

For the purposes of this Employee Assistance Policy, the terms "troubled" or "problem member" refer to: alcohol abuse, drug abuse, emotional, marital, financial, legal, family connected, disability, workmen's compensation, pre and post-retirement, consumer, and any other problems affecting a member's welfare.

1. The primary purpose of this policy is to aid the alcoholic or otherwise troubled member to recognize the problem and rehabilitate himself or herself to the status of a sober and productive employee.
2. Alcoholism is a treatable disease and the alcoholic is an ill person requiring skilled rehabilitative assistance. Otherwise troubled members also require referral to appropriate professionals.
3. The troubled employee may be defined as:
 - a) That person whose work performance is impaired by the repetitive use of alcoholic beverages or whose drinking results in recognizable interference with health or interpersonal relationships on the job.
 - b) That person whose personal problem is interfering with job performance, personal welfare, health, or interpersonal relationships on the job.
4. Coverup of such individuals by management or labor has been a major contributing factor towards aggravating the troubled employee's problem, and can no longer be tolerated.
5. Alcoholism is an NBC, RCA Records, Reeves Teletape, NBN/Local #11 problem, and, therefore, a joint effort is needed. Other problems troubling the member require similar efforts.
6. This effort is accomplished by:
 - a) Identification of the problem by Shop Stewards, Management, Supervisors, Health Office, Fellow workers, Family members, or by Self referral.
 - b) Documentation of deteriorating work performance or behavioral problem by the joint Management/NABET Local #11 Employee Assistance Committee.

- c) Confrontation with the employee by the joint committee.
 - d) Referral by the joint committee to appropriate community resources for evaluation, diagnosis and treatment.
 - e) Follow-up on member's progress jointly with aftercare professionals, giving all possible support to the employee who cooperates in an honest attempt at recovery.
 - f) Self-referrals are encouraged to participate in the program, and are assured of total confidential assistance through referral and follow-up.
7. Since Alcoholism is a disease which affects the entire family, efforts will be made to contact and involve family members. The committee will make similar efforts to involve the family, when indicated, for other problems or illnesses.
 8. It shall be the problem employee's responsibility to comply with the joint committee's recommendations, and to follow the treatment prescribed by the appropriate resource to which the employee is referred.
 9. Confidentiality in all aspects of dealing with the employee will be strictly observed.
 10. Refusal of treatment by the employees shall be handled as any other refusal that affects job performance.
 11. Where all attempts at rehabilitation have failed, termination of employment shall be handled in a consistent and equitable manner through normal Labor Relations channels.

Henry J. Huestis, Chairman
Alcoholism Assistance Committee

Morton Aronoff, Chairman
Community Services Committee

Source: Aronoff and Huestis (1981).

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