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The relationship of managers' theory X and theory Y assumptions to managerial participative behavior, employee commitment, and employee absenteeism.

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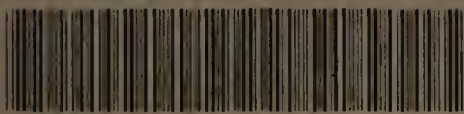
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THE RELATIONSHIP OF MANAGERS' THEORY X AND THEORY Y ASSUMPTIONS
TO MANAGERIAL PARTICIPATIVE BEHAVIOR, EMPLOYEE COMMITMENT,
AND EMPLOYEE ABSENTEEISM

A Dissertation Presented

by

~~RICHARD NOEL LOGOZZO~~

Submitted to the Graduate School of the
University of Massachusetts in partial fulfillment
of the requirements for the degree of

DOCTOR OF PHILOSOPHY

February 1989

School of Management

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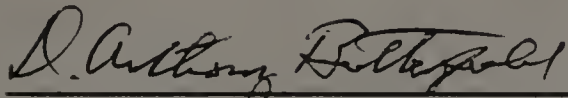
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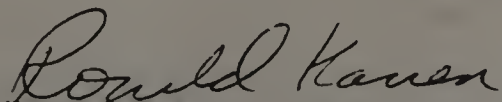
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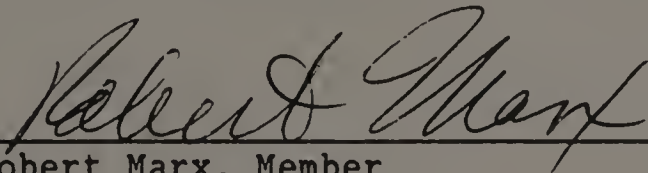
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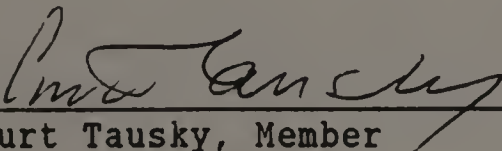
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To my parents,
Arthur and Elia

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My aunt, Dora Fontanella, typed--without flinching--part of the manuscript.

My parents, family, and relatives gave support of many kinds.

ABSTRACT

THE RELATIONSHIP OF MANAGERS' THEORY X AND THEORY Y ASSUMPTIONS
TO MANAGERIAL PARTICIPATIVE BEHAVIOR, EMPLOYEE COMMITMENT,
AND EMPLOYEE ABSENTEEISM

FEBRUARY 1989

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The purpose of this study was to implicate managerial assumptions in employee commitment and performance. Twenty-eight first-line managers in a large insurance company were administered the Managerial Philosophies Scale to determine each manager's affinity for Theory X and Theory Y. Two-hundred-nineteen insurance claim processors who were subordinates of the managers were administered a scale of participative decision making which measured each subordinate's perception of his/her manager's participative behavior. Subordinates were also administered a scale of organizational commitment which measured commitment to the employing company. An absenteeism measure was obtained for each subordinate through the use of personnel records. In accordance with management theory posited by Douglas McGregor, it was expected that managers' subscription to Theory X assumptions would be associated with a tendency to seldom allow subordinates to participate in decision making; subordinates so treated were

expected to exhibit low organizational commitment and high absenteeism. Conversely, it was expected that managers' subscription to Theory Y assumptions would be associated with a tendency to frequently allow subordinates to participate in decision making; subordinates would respond with high organizational commitment and low absenteeism. Results compatible with expectations were: Managers' use of participative decision making was positively related to subordinates' organizational commitment; and, there was marginal support for a positive relationship between managers' subscription to Theory Y and subordinates' organizational commitment. A result which was opposite from expectation was that managers' participative behavior and subordinates' absenteeism were positively rather than negatively related. Though there was a trend for managerial assumptions to be related to the subordinate attitude of organizational commitment, the study was unable to directly relate managerial assumptions to the subordinate performance measure of absenteeism.

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CHAPTER 1

INTRODUCTION

This chapter provides an orientation to the study at hand. The chapter introduces the problem to be investigated and states the specific purpose of this research. Important terms are defined, and research hypotheses are delineated. Assumptions and limitations of the study, as well as the importance of the study, are discussed [1]. The present chapter is largely a synopsis of Chapter 2, which reviews the literature; Chapter 1 was written with "readability" in mind, while Chapter 2 was prepared as a fully-documented source.

The introduction of the problem examined by the present study requires just a bit of background information: Though there is substantial interest on the part of many managers in having employees take a more active role in their work situations, there is also evidence that managers do not fully support programs designed to give employees more responsibility. This researcher made the intuitive guess that managers are trying to implement programs which are based on assumptions that employees are basically responsible and self-controlling (management theorist Douglas McGregor named such assumptions "Theory Y") while in their hearts the managers are guided by more traditional assumptions that employees wish to avoid responsibility and need to be controlled

(McGregor named these assumptions "Theory X"). A search indicated that numerous authors have previously considered the possibility that at least some managers are Theory X managers in Theory Y clothing--that is, certain assumptions about workers are being talked up, while other assumptions are actually guiding managers' behavior. Now while all of this background thought and information did not come close to solving the puzzle of how managers relate to certain programs, it did allow the researcher to identify the exact problem he wanted to examine. The problem, in its most broad form, was "Are managers' assumptions about people related to how managers behave and how organizations perform?"

There have been only a few studies which attempted to demonstrate the relationships among managerial assumptions, managerial behavior, and subordinates' satisfaction and/or performance. One study indicated that being in favor of Theory X or Theory Y, or being under leaders whose philosophies were Theory X or Theory Y, did not seem to indicate whether people's perceived satisfaction with leadership in selected organizational processes were different (Brown & Ladawan, 1979). Another study attempted to relate managerial assumptions to managerial achievement (Hall & Donnell, 1979): Adherence to Theory X suppositions regarding those who populate one's work environment was found to be associated with lower levels of managerial achievement; the expectation that adherence to Theory Y would facilitate managerial accomplishment

failed to receive support. The study by Boy (1982) indicated that Theory X scores alone and Theory Y scores alone do not predict selected measures of organizational effectiveness. Fiman (1973) found that subordinates who perceive their supervisor as having a Theory Y view or expressing behavior consistent with such a view tend to be more satisfied with their job; the data did not indicate a relationship between Theory Y supervisory characteristics and the subordinates' level of performance.

The topic of managerial assumptions thus seemed to be one ripe for study. There were just a few studies which looked at managerial assumptions and their consequences. Managerial assumptions had not been consistently associated with employee satisfaction, and there was no evidence to date that empirically related managerial assumptions to employee performance. Also, though two studies (Brown & Ladawan, 1979; Hall & Donnell, 1979) used for measuring managers' assumptions a scale which has been put through a series of procedures in questionnaire instrument development (Managerial Philosophies Scale; Jacoby & Terborg, 1986, latest version), the earlier Fiman (1973) study had to rely on an ad hoc questionnaire, and the Boy (1982) study used an instrument where the statement format itself may have affected scoring. Finally, the Hall and Donnell (1979) study was able to link managerial assumptions with managerial achievement; however, the indicator of managerial achievement that was used referred to a

manager's personal career progress, so the question of how managers' assumptions affect subordinates' performance remains open.

The purpose of the present study was to add new evidence to the very small amount of existing evidence (Fiman, 1973; Hall & Donnell, 1979) which implicates managerial assumptions in organizational outcomes ("organizational outcomes" will be used here to refer generally to employee attitudes and/or employee performance). The present study was guided by a theoretical model posited by Douglas McGregor (1960, 1967), and the study actually constituted a partial test of the model. Though the Fiman (1973) study, mentioned above, was fairly closely guided by McGregor's theory, the Fiman work did not specifically investigate the variable of organizational commitment, which was a variable of key importance for McGregor.

McGregor (1967) believed that a manager's behavior was dependent upon his or her assumptions about human nature. He thought that managers could behave in ways to bring about high organizational commitment on the part of their subordinates. He further thought that individual and organizational performance was positively related to organizational commitment on the part of subordinates. Thus, McGregor was positing a serial linkage from managerial assumptions about people, to managerial behavior, to commitment by the manager's subordinates, to subordinates'

performance. McGregor cited reduced absenteeism on the part of subordinates as an important example of individual and organizational performance. McGregor's serial linkage of variables is represented in Figure 1.1.

This study examined the managerial assumptions-managerial behavior-organizational commitment-employee absenteeism serial linkage which is encapsulated in Figure 1.2. Relationships between these variables were first inspected through a search of the literature (see Chapter 2), and it was found that evidence was mixed in offering support for the links between variables in the McGregor model; that each link had at least some support made the testing of the model defensible.

This study was apparently the first one to follow McGregor's model closely (as Fiman, 1973, did) and also include, as specified by McGregor, the variable of organizational commitment. Employee absenteeism was used as an indicator of individual and organizational performance. Employee absenteeism was selected for measurement in the present study because McGregor cited it as an important example in his model. Also, employee absenteeism is a variable which can be specified a priori in a straightforward manner, whereas other performance criteria may need to be developed only after it becomes apparent what kind of performance data the field-site organization can offer. Ultimately, other measures of individual and organizational performance will be helpful in

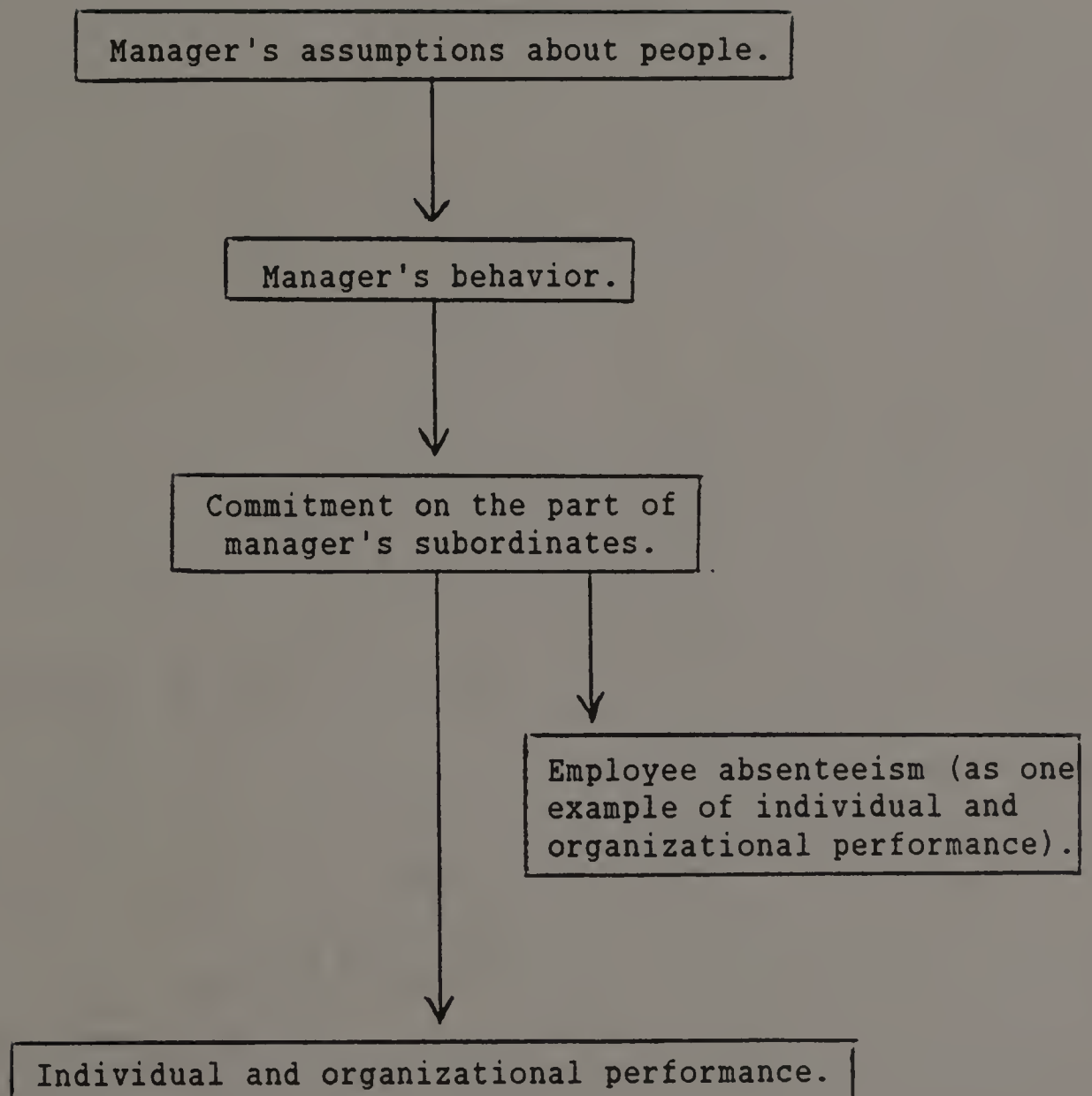


Figure 1.1. McGregor's serial linkage of several variables. (Schematic is based on: McGregor, D. [1967]. The professional manager. New York: McGraw-Hill Book Company.)

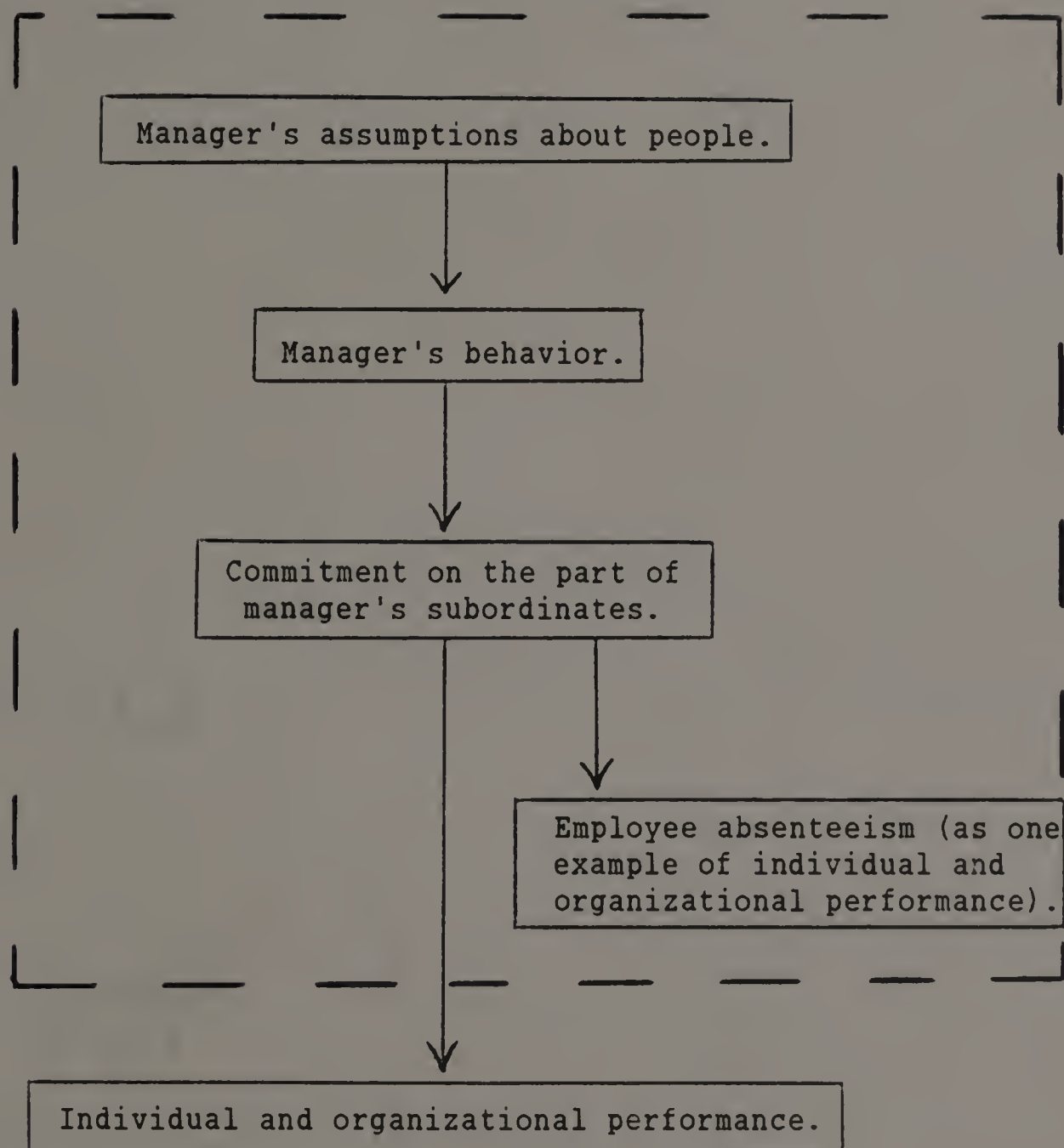


Figure 1.2. McGregor's serial linkage of several variables. Encapsulated variables represent the focus of the present study. (Schematic is based on: McGregor, D. [1967]. The professional manager. New York: McGraw-Hill Book Company.)

understanding the relationship between managerial assumptions and performance. However, it seemed logical to get a feel for how variables "closest" to managerial assumptions (i.e., the variables of managerial behavior and organizational commitment) are related to managerial assumptions before pursuing more extensive work with with other indicators of performance [2].

Certain terms will now be clarified or defined to ensure that the reader can proceed through the study with ease.

The terms "managerial assumptions," "managerial philosophies," and "managerial beliefs" appear to be virtually synonymous in the literature and refer to assumptions--usually about people and how people should be managed--held by managers. For simplicity, the researcher tried to consistently use the term "managerial assumptions," however the latter two terms may appear in material which is cited or quoted from other people.

"Employee participation" is a term which was used to describe the practice of increased involvement by employees in the management and/or ownership of the organizations which employ them (Simmons & Mares, 1985).

Though strategies using employee participation can be applied to various processes (e.g., performance appraisal, compensation, and promotion) throughout an organization, this study focused on a participative process which is frequently deemed in the literature to have central importance in the work lives of employees--that

process is "participation in decision making (PDM)." The definition which was used here is after Locke and Schweiger (1979): PDM is joint decision making by at least two people, i.e., PDM refers specifically to participation, by two or more people, in the process of reaching decisions.

Regarding the variable of organizational commitment, this study focused on "attitudinal" organizational commitment (where the focus is on processes by which people think about their relationships with an organization) as opposed to "behavioral" organizational commitment (where the focus is on processes by which individuals become psychologically locked into a certain organization) (Mowday et al., 1982). In this study, organizational commitment was defined, relying on the definition of Cook and Wall (1980), as a person's identification with an organization, along with that person's willingness to expend effort on behalf of that organization. This definition was consistent with McGregor's theory and allowed the concept of commitment to be operationally defined later in this paper. Organizational commitment represents a concept beyond mere passive loyalty, as committed individuals are willing to give something of themselves to contribute to an organization's well being (Mowday, Steers, & Porter, 1979). Organizational commitment is distinguished from motivation in that, though organizational commitment might serve as one of many possible forms of motivation, commitment is specific in relating an

individual to an organization. Also, organizational commitment is distinguished from job satisfaction in that commitment emphasizes attachment to the employing organization, while satisfaction emphasizes responses to the specific task environment where an employee performs his/her duties (Mowday et al., 1982).

Absenteeism was defined here as nonattendance when an employee is scheduled to work (see Price & Mueller, 1986). The distinction was made between voluntary absenteeism (an employee chooses to be absent) and involuntary absenteeism (events such as accidents or sickness remove the element of choice) (Price & Mueller after Steers & Rhodes, 1978). Voluntary absenteeism was the focus in this study.

The specification of variables in the present study is as follows:

Independent Variables:

- 1) Subscription to Theory X by managers as measured by the Managerial Philosophies Scale (MPS; Jacoby & Terborg, 1986) score for Theory X. See Appendix A for information on the the MPS.
- 2) Subscription to Theory Y by managers as measured by the MPS score for Theory Y.

Note: The MPS, in keeping with McGregor's position that Theory X and Theory Y are qualitatively different,

generates both a Theory X score and a Theory Y score for each subject who is administered the scale.

Intervening Variable:

- 3) Amount of participative behavior on the part of managers as perceived by the subordinates of those managers; participative behavior of managers was measured by the total score on the participative decision making (PDM) instrument of Sutton and Rousseau (1979). See Appendix C for the PDM instrument.

Intervening Variable:

- 4) Commitment to the organization by subordinates of the managers; commitment was measured by the total score on the six items which make up the Identification and Involvement subscales of the Cook & Wall (1980) organizational commitment instrument. See Appendix C for the organizational commitment instrument.

Dependent Variable:

- 5) Absenteeism by subordinates of the managers. Absenteeism was measured by "frequency" absenteeism (the total number of inceptions of absence occurrences per year, regardless of the duration of each absence occurrence) (see Price & Mueller, 1986).

For the independent variables, the unit of analysis was individual supervisors; for the intervening and dependent variables, each

supervisor's group was the unit of analysis. It should be mentioned that in the transition from one intervening variable (managerial behavior) to the next intervening variable (organizational commitment), the perspective shifts from a manager-employee relationship to an organization-employee relationship. This shift is suggested by McGregor's theory: The manager, by helping to mesh individual and organizational goals, directs substantial attention on the part of the employee to the organization.

The research hypotheses are:

- Hypothesis 1a: Managers' Theory X subscription and managers' participative behavior are negatively related.
- Hypothesis 1b: Managers' Theory Y subscription and managers' participative behavior are positively related.
- Hypothesis 2: Managers' participative behavior and employee commitment are positively related.
- Hypothesis 3: Employee commitment and employee absenteeism are negatively related.
- Hypothesis 4: Managers' participative behavior and employee absenteeism are negatively related.
- Hypothesis 5a: Managers' Theory X subscription and employee commitment are negatively related.
- Hypothesis 5b: Managers' Theory Y subscription and employee commitment are positively related.

Hypothesis 6a: Managers' Theory X subscription and employee absenteeism are positively related.

Hypothesis 6b: Managers' Theory Y subscription and employee absenteeism are negatively related.

The following assumptions underlie the present study:

Production performance is held to be a prime purpose of an organization. Production allows an organization to provide goods and/or services to society, and allows the organization to meet financial obligations to employees and stakeholders. An example of an alternate view--one not taken by this study--is the "humanistic" view (see Dickson, 1983) where the growth and the development of individual employees on the job are more important than production output. The position taken by this study does not necessarily entirely preclude concern with the development of employees, however.

Managerial assumptions and managerial behavior are held to have a certain static strength (some authors have taken a contrary view that the assumptions and behavior that a manager assumes depend upon the given environmental factors facing the manager at a given time). This assumption is made for several reasons: 1) McGregor made this assumption, and this study is evaluating his model; 2) the researcher expects managers to display managerial styles, i.e., managerial assumptions and behavior will have some

consistency over various conditions; and 3) future studies can still investigate environmental factors as the need arises.

It is assumed here that Theory X and Theory Y are conceptually separate (some authors have treated Theory X as conceptually related to Theory Y in a polar-opposite direction). This position is faithful to McGregor's theory and allows independent measurement of Theory X and Theory Y so more information can be obtained about if, and how, the two scores are empirically related (there is some empirical evidence that Theory X and Theory Y are negatively correlated).

It is maintained for the purpose of this study that the perception of the subordinate regarding his/her manager's behavior is the most relevant way to measure managerial behavior (as opposed to, say, using a manager's self-report or trying to devise an objective measure). Any subordinate's reactions would logically depend on how that subordinate perceives his or her manager to behave.

This study relies on the assumption that absenteeism is detrimental to the performance of individual employees and the organization at large. It is a logical expectation that workers simply must be present at work to perform, though it is recognized that some people have suggested the possibility that some absenteeism may not necessarily lead to reduced production efficiency, as the absenteeism may in some way allow workers to

"charge their batteries" and be more productive when they come back to work (see Mowday et al. [1982] and Marcus & Smith [1985]).

Limitations of the study include the following:

Subjects for this study were selected from one department of one division of one organization, so generalizability of results may be restricted to that one department.

The present study did not measure characteristics of individuals, such as their authoritarianism (Vroom, 1960) or their locus of control (locus of control refers to the issue of how much personal power a person feels he/she has to influence outcomes; Rotter, 1966; Ruble, 1976). This type of variable was not included so that demands on the organization which was participating in the study could be kept to a reasonable level, though it is recognized that the inclusion of such variables could possibly contribute information as to how different types of individuals might react to different styles of managerial behavior.

Though hopefully not a limitation per se, it seems right to advise the reader of the researcher's viewpoint: McGregor's theory is personally appealing to me. I share McGregor's position that the potential of people is often underestimated, and I think McGregor's theory represents some reasonable, tentative thoughts on how to make the experience of work more fulfilling for people while at the same time increasing production. I realize that other people do not necessarily share my enthusiasm for McGregor's

writing. For example, Tausky (1970, 1978) is skeptical, given the emphasis in our society on individual goal attainment, that organizations can be restructured to refocus employee interests in such a way that organizational objectives would be valued as highly as personal objectives; Tausky (1984) thinks that specific personnel policies will stimulate substantial increases in cooperation between management and employees: "With the twin policies of secure jobs and profit sharing, the perception of a shared fate emerges" (p. 147).

Why perform this study? What is important about it?

One reason why this study is important is that it may increase the amount of attention given to managerial assumptions. As the review of the literature will reveal, managerial assumptions have not, to date, received a great deal of attention as a variable which factors into organizational performance. It was stated previously that the purpose of this study was to provide evidence which implicates managerial assumptions in organizational outcomes. Such evidence would likely give the variable of managerial assumptions a more firm and conspicuous place in any future modeling of antecedents of organizational outcomes.

The second reason this study is important is that it seems appropriate that the work of Douglas McGregor receive more research attention. McGregor's theory has been around for over two decades. McGregor's name is apparently well known among people in business

(see Hall & Donnell, 1979), and at least a summary of his theory probably appears in almost every general text on organizational behavior. It is likely that McGregor's theory, to some extent, influences employee participation programs (Logozzo, 1986). Yet McGregor's theory is relatively unpossessed of supporting data; few studies have examined the proposition that managerial behavior and the work group's effectiveness are a function of the manager's view of human nature (Jacoby & Terborg, 1975). This study offered an opportunity to test a part of the McGregor model more precisely than has ever been done before (though the Fiman [1973] study was guided by McGregor's model, an ad hoc questionnaire to assess managerial assumptions needed to be devised, and the study did not investigate the important variable of organizational commitment).

For anyone who might guess that McGregor's theory is strictly history, the appearance of two recent articles in business journals might indicate otherwise. The articles, by DeCotiis and Jenkins (1986) and McTague (1986), though they did not directly cite Douglas McGregor, implored readers to understand virtually the same message McGregor gave some twenty years earlier: Managerial philosophy guides management practices, management practices can create organizational commitment on the part of employees, and commitment is related to employee performance. Both articles favored precepts where workers are respected for their competence and given opportunities to share responsibility with managers

(these are obviously Theory Y precepts [3]). If McGregor's model is going to persist in the literature, as these two articles indicate that it might, it certainly would be useful to continue to evaluate the model.

A third reason why this study is important is that organizational change efforts may be impeded by giving much attention to structural changes in the organization without recognizing the role of managers' assumptions about people and about how people should be managed. When someone somewhere in a company champions a new program for some reason, discord may arise if there is a conflict of assumptions. Let this concern be stated in terms of a hypothetical and concrete example: Say that the upper managers of an organization decide they want a quality circle program (a system where groups of employees meet on a regular basis to identify and solve work-related problems); the managers do not know much about that type of program, but have heard a competitor is realizing cost savings because of it. The managers authorize in-house consultants to set up a quality circle program. The quality circle process is based on one assumption, among others, that there is value in soliciting input from employees (quality circles are based on Theory Y type assumptions). The upper managers still work from the assumption, among similar assumptions, that employees should follow orders and should not give input to managers (the managers are using Theory X assumptions) [4]. The

managers are soon faced with the formal presentation of ideas from employees as part of the quality circle program which the managers just authorized. And perhaps lower-level managers, who actually have to work with the circles, also work from the assumption that employees are not to give input to managers (see Klein, 1984). Upper- and lower-level managers are simply not likely to support this new program; the program will be sabotaged noisily or quietly, or, as in an example of McTague (1986), top management simply pulls the plug. The same scenario could occur with many other types of programs, such as job enrichment programs or programs of self-regulating work teams, that are designed on Theory Y type assumptions. Logozzo (1986) in fact reported numerous incidences of lack of managerial support in programs that involve more than the usual amount of participation from employees.

This study does indeed focus needed and timely attention on the topic of managerial assumptions. The remainder of this paper indicates the attention was rewarded with interesting results.

NOTES, CHAPTER 1

1. The format of the chapter and dissertation is largely guided by Long et al. (1985).

2. A similar partial approach was taken by Rosen, Klein, and Young (1986). In studying employee ownership "success," the authors considered profitability and productivity to be good indicators or organizational success. However, the authors were concerned that differences between firms in the way profits and productivity were measured and reported would render the indicators useless. "Ultimately, we opted for a more immediate and certain definition of employee success: employee attitudes" (Rosen et al., 1986: 62). The authors were working under the assumption that employee attitudes and indicators or organizational success would be related.

3. DeCotiis and Jenkins (1986) did an empirical investigation and reported it in anecdotal fashion in their article; the evidence reported supported their theoretical position.

4. The conflict of assumptions cited here seems to fall within a general framework established by Litterer and Young (1980, 1984) and Young (1980). These authors addressed the correction of paradigmatic errors. A social paradigm is a subjectively shared set of assumptions delineating the nature of social reality (Young, 1980). Paradigmatic error occurs if the management of an organization uses a deficient or unquestioned paradigm which does not correctly match environmental conditions, and then expected organizational results are not achieved (Litterer & Young, 1980). Thus, in the Theory X-Theory Y type of conflict mentioned in this paper, paradigmatic error will likely occur if managers say they will support Theory Y programs but actually behave in accordance with Theory X assumptions (this is a condition of inconsistency within the managers), or the error will likely occur if the Theory X managers are at odds with consultants and employees who believe in the Theory Y tenets of a program (this is a condition of conflict between the managers and other people). Paradigmatic error is correctable only with a reflective review of the managerial paradigm which is conducted with the intent of isolating the mental error being made. The reflective process requires problem identification, consciousness-raising where managers are encouraged to explore their paradigmatic underpinnings, and paradigm shift to a set of cognitions which matches the environmental conditions (Litterer & Young, 1980). The implication of the Litterer and Young framework is clear: Under conditions of paradigmatic error--the conflict of Theory X and Theory Y

assumptions would be an example--managerial assumptions must be elucidated and reconciled with existing conditions in the organization before the organization can achieve expected results. In terms of our recent hypothetical example, the managers may have to come to fully recognize and accept Theory Y type assumptions and support the quality circle program, or they may prefer to continue operating under Theory X assumptions and cancel the quality circles. This second solution runs the risk of future paradigmatic error if employees and/or in-house consultants continue to be guided by Theory Y tenets.

CHAPTER 2

REVIEW OF THE LITERATURE

This chapter describes and documents the theoretical framework of the study. The chapter begins by indicating the literature that directed the researcher to the topic of managerial assumptions. Managerial assumptions are then placed in the context of a theoretical model posited by Douglas McGregor, and the scope of the present study is established. Each of the variables of this study is introduced and discussed. Evidence concerning relationships between important variables is then reviewed.

The Literature Which Pointed to Managerial Assumptions

In a review of the present state of employee participation programs, Logozzo (1986; unpublished comprehensive examination) was not surprised to find that in the employee participation literature there is nearly universal agreement that management support is a necessary ingredient for success (e.g., see Patchin, 1983, and Steel et al., 1985). What did seem striking, however, was the ample evidence cited about the possibility that managers may be using employee participation programs to "fix" productivity problems, that managers may be uninformed about the nature of employee participation programs, that managers may be protective of traditional forms of organization to protect their own interests, that managers may not want to give employees much power, that some

managers treat employee participation programs with traditional directives, and that some employees suffer stresses which they attribute to their bosses' behavior. Something or some things seemed amiss: Though there is substantial interest in employee participation, there is evidence that there are problems in the way managers relate to employee participation. Also, though many employees are a little more empowered in their jobs than in previous years, it is likely that American organizations taken as a whole in 1986 remain basically bureaucratic, and American managers seem to retain most of the control in employees' working lives (Logozzo, 1986).

Could it be that the assumptions which managers hold play a part in the apparent confusion which surrounds employee participation? What if managers were trying to implement employee participation programs, which are based on Theory-Y type assumptions (Logozzo, 1986), yet the managers were being guided by some other set of assumptions, perhaps Theory X assumptions, which are more akin to a traditional way of managing? Have other authors entertained such a thought? It appears that they have:

In a large international study (about 3600 managers in 14 countries were involved) designed to assess the attitudes of managers in various countries, Haire, Ghiselli, and Porter (1966) found, among their numerous findings, that "...in almost every one of the fourteen countries they [managers] held rather negative

views about the average individual's capacity for initiative and leadership. At the same time, however, these managers felt that participative, group-centered methods of leadership are more effective than traditional directive methods" (p. 16) [1] [2]. One interpretation of this finding offered by the authors is that the finding reflects a partial digestion of the exhortations, by consultants and professors of management, for participative management--however, the corresponding assumptions about people's ability and willingness to assume responsibilities have "...not been taken to heart" (p. 24). In referring to this finding that managers rather universally hold negative views of worker capabilities yet at the same time feel that participative methods of leadership are more effective than traditional methods, Haire, Ghiselli, and Porter indicated that a "...situation [has emerged] where many managers want to build the techniques and practices of a Jeffersonian democracy on a basic belief in the divine right of kings!" (p.24).

Klein (1984) raised the possibility that employee participation programs may be implemented where managers who actually have to work with the programs do not believe in the value of accepting input from employees. Sullivan (1975) put succinctly the possibility of a manager espousing one Theory (say, Theory Y) but behaving more in accordance with another theory (say, Theory X): "...the Theory X manager in Theory Y clothing" (p. 30).

Mendenhall and Oddou (1983) contended that organization development (OD) practitioners try to teach Theory Y concepts, yet design and/or use training programs which are based on Theory X assumptions. For example, the OD practitioners are liable to tell trainees what is or is not meaningful and valuable rather than allowing the trainees the freedom to learn for themselves what is meaningful and valuable. Mendenhall and Oddou thought that such a situation has come about for reasons which include the desire to use existing training programs which are immediately applicable and the desire to appease top management's desire for control by the practitioners themselves controlling trainee development.

Recently, O'Toole (1985) wrote that Motorola's Participative Management Program (PMP) has been made a cornerstone of the company's culture, while many other companies have only bits and pieces of participative management going on in various divisions. Motorola has institutionalized participation to such a large extent because of the company's assumptions about workers and work. The company's handbook on the PMP begins with elucidation of company assumptions. Two of the numerous assumptions are that employees are intelligent and responsible and that employees want to be involved in decisions that affect their work (the assumptions are apparently heavily influenced by Theory Y). By contrast, O'Toole maintained that if the more traditional companies in America were to examine their assumptions about employees they would illustrate

a vision of employees as being irresponsible, having little to contribute in terms of ideas that would improve productivity, and as working solely for money (O'Toole's list continued, and looked very much like Theory X) [3].

Argyris and Schön (1974) cited a problem in terms more broad than Theory X and Theory Y. The authors maintained that when an individual is asked how he/she would behave under certain circumstances, he/she will likely give his/her "espoused" theory of action for that situation.

This [espoused theory] is the theory of action to which he[/she] gives allegiance, and which, upon request, he[/she] communicates to others. However, the theory that actually governs his[/her] actions is his[/her] theory-in-use, which may or may not be compatible with his[/her] espoused theory; furthermore, the individual may or may not be aware of the incompatibility of the two theories (Argyris & Schön, 1974: 7).

The topic of managerial assumptions appeared to indeed be an area which warranted more attention. After much thought, this researcher was able to state a problem which seemed able to embrace the above findings and at the same time offered a logical starting place for study. The problem was stated as "Are managers' assumptions about people related to how managers behave and how organizations perform?" The examination of the problem began by referring to management theorist Douglas McGregor, who wrote extensively on the topic of managerial assumptions.

Theory X, Theory Y, and the McGregor Model of Personal and Organizational Variables

Douglas McGregor (1960) encouraged managers and scholars to examine and make explicit their assumptions about human nature and human behavior. He thought that certain assumptions, if left unexamined, could limit our view of the human capacity for creativity, growth, collaboration, and productivity. Traditional textbook principles of organization, such as hierarchical structure, unity of command, task specialization, division of line and staff, span of control, and hierarchical authority, have had profound influence on managerial behavior for several generations.

Unfortunately, those classical principles of organization--derived from inappropriate [military and Catholic Church] models, unrelated to the political, social, economic, and technological milieu, and based on erroneous assumptions about behavior--continue to influence our thinking about the management of the human resources of industry (McGregor, 1960: 18).

McGregor called the assumptions, which are implicit yet pervasive in the literature and in the practice of organization, "Theory X" (see Table 2.1 for propositions of Theory X) [4]. McGregor said that during the prior two or three decades the human side of enterprise had become a major preoccupation of management, and strides had been made to provide generally safe and pleasant working conditions; however, the fundamental theory of management has remained unchanged.

In laying the groundwork for a different theory of management, McGregor cited a generalized theory of motivation which appears to

TABLE 2.1

Propositions of McGregor's Theory X and Theory Y*

Theory X:

- 1) The average human being has an inherent dislike of work and will avoid it if he/she can.
- 2) Because of this dislike of work, people must be coerced, controlled, directed, and threatened with punishment to get them to achieve organizational objectives.
- 3) The average person prefers to be directed, wishes to avoid responsibility, has little ambition, and wants security above all else.

Theory Y:

- 1) The expenditure of physical and mental effort in work is as natural as play or rest.
- 2) People will exercise self-direction and self-control in the service of objectives to which they are committed.
- 3) Commitment to objectives is a function of the rewards associated with their achievement.
- 4) The average person learns, under proper conditions, not only to accept, but to seek responsibility.
- 5) The capacity for creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.
- 6) In modern industrial life, the intellectual potential of people is only partially utilized.

*From: McGregor, D. (1960). The human side of enterprise. New York: McGraw-Hill Book Company.

be heavily influenced by Maslow (1954). Human needs are arranged hierarchically from basic needs to higher-order needs, i.e., from physiologic and safety needs to social, egoistic (self-esteem, status), and self-fulfillment (achieving one's own potential) needs. A satisfied need, especially at the lower levels of the hierarchy, is not considered to be a motivator of behavior. A philosophy of management by direction and control is inadequate to motivate in our current society, which has progressed to the point where people's lower-level (physiologic and safety) needs are generally satisfied in the work place; direction and control devices (rewards, promises, threats) may be effective when people are struggling for subsistence, but direction and control are of little value in motivating people whose important needs are social and egoistic. Social and egoistic needs can only be met by the individual him/herself in a supportive environment. "People, deprived of opportunities to satisfy at work the needs which are now important to them, behave exactly as we might predict--with indolence, passivity, unwillingness to accept responsibility..." (McGregor, 1960: 42). Theory X assumptions thus lead to a restriction of motivation in workers.

McGregor offered certain assumptions, called "Theory Y," as an alternative view of human nature (see Table 2.1 for propositions of Theory Y). While the central principle of organization which derives from Theory X is that of direction and control, the central

principle which derives from Theory Y is that of "integration."

Integration is the creation of conditions such that members of the organization can achieve their own goals (self-control) best by directing their efforts toward the success of the organization. The principle of integration thus requires that needs of the organization and of individuals be simultaneously recognized.

Individuals are free to try to meet any level of their human needs, and they are motivated to work for the objectives of the organization which is so supportive of them. Since the application of Theory Y would be a deliberate attempt to link improvement in managerial competence with satisfaction of higher-level (ego and self-fulfillment) needs, Theory Y is a special case of management by objectives. Both a worker and his/her superior together determine the major requirements of the job, set target goals for the individual (bearing in mind organizational objectives), and appraise performance (appraisal by the superior alone would lead only to systematic, external control of the subordinate's behavior) [5].

McGregor wrote a subsequent book (1967) for two reasons: One reason was to stress that Theory X and Theory Y are not managerial strategies (as apparently many readers had interpreted them to be) but are underlying beliefs of managers. A second reason was to discuss more fully the implications of sets of assumptions about people.

McGregor spoke of cosmologies: A cosmology is defined to be a theory of the universe as a whole and the laws governing it. Though each individual's cosmology may be unique, there are also shared beliefs about reality. A cosmology would include beliefs about the nature of humans (e.g., humans need direction and control vs. humans are capable of self-control) and beliefs about cause and effect in human behavior (e.g., humans respond only to extrinsic rewards and punishments vs. humans respond to intrinsic--internally developed--rewards and punishments as well as to extrinsic ones). Theory X and Theory Y were suggested only as examples of two among many possible cosmologies, and the beliefs listed were not an attempt to represent the whole of either of these cosmologies. McGregor held that cosmologies are qualitatively different and do not lie on a continuous scale:

The belief that man is essentially like a machine that is set into action by the application of external forces differs in more than degree from the belief that man is an organic system whose behavior is affected not only by external forces but by intrinsic ones. Theory X and Theory Y therefore are not polar opposites; they do not lie at extremes of a scale. They are simply different cosmologies (McGregor, 1967: 79-80).

In the course of discussing more fully the implications of sets of assumptions about people, McGregor (1967) mentioned many variables and interrelationships among variables. I have captured, in schematic form and to the best of my ability, the model which McGregor seemed to be elaborating in text form (the schematic appears as Figure 2.1). I have elected to use the term "model" in

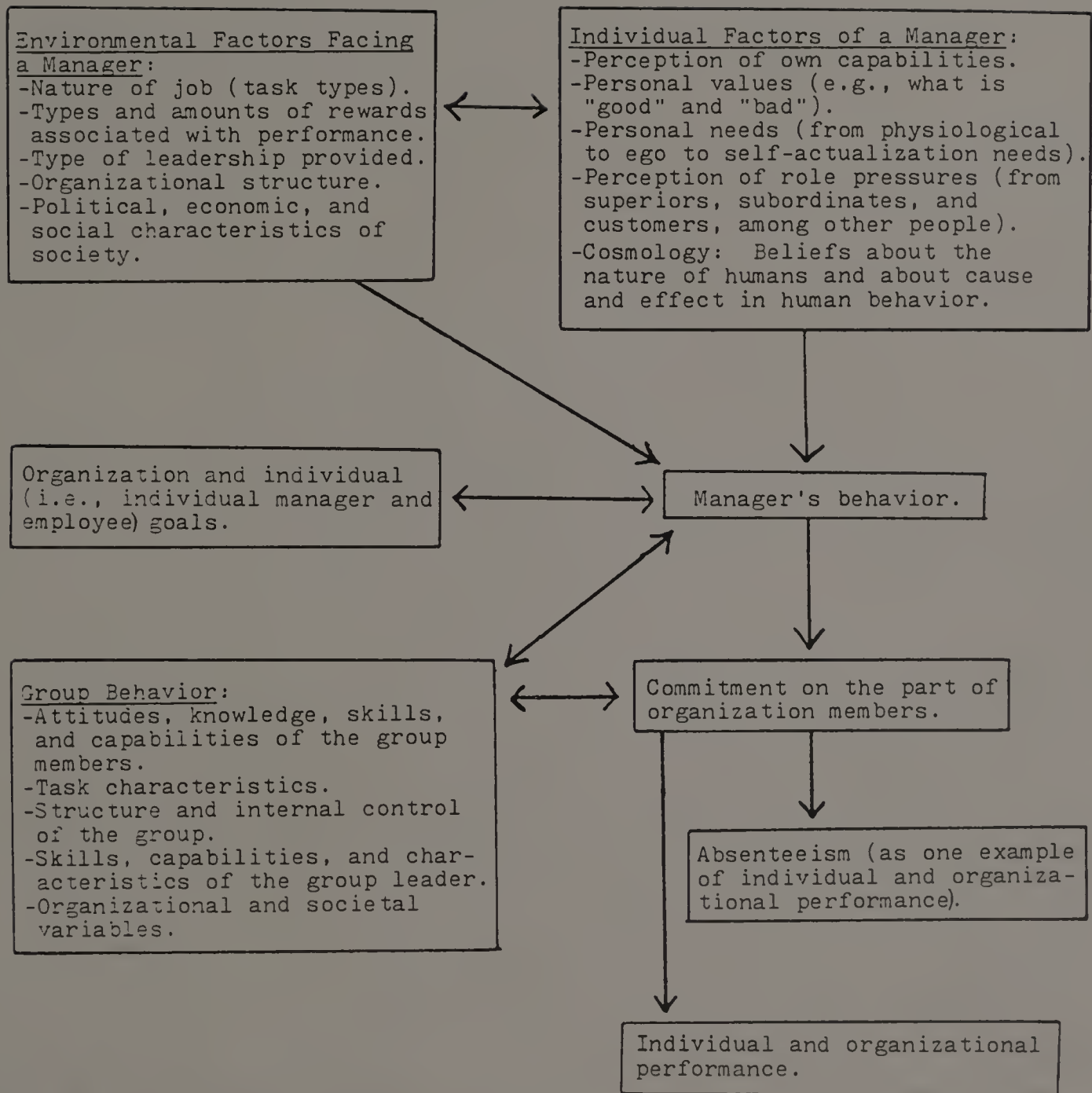


Figure 2.1. The McGregor model of personal and organizational variables. (Schematic is based on: McGregor, D. [1967]. The professional manager. New York: McGraw-Hill Book Company).

referring to the relationships among variables; McGregor did not himself refer to a "model". The model states that the behavior of a manager is dependent upon individual factors, environmental factors, and interrelationships among and between these sets of variables. The manager's behavior determines a certain level of commitment on the part of organization members, and the degree of commitment is directly related to individual and organizational performance. Additionally, goal setting interacts with the manager's behavior, and group-behavior variables interact among each other and with the manager's behavior and with level of commitment. McGregor admitted to the complexity of all this; for example: "The relationships among these variables [individual and environmental variables] are many and complex" (1967: 5), and "The behavior of [a] group is importantly influenced not only by the nature and degree of each of these many variables [the variables associated with group behavior, as shown in Figure 2.1], but by an array of relationships between them" (1967: 168).

Despite the complexity, McGregor believed that a manager's behavior was powerfully influenced by his or her own assumptions about human nature. And he thought that managers could behave in ways that would materially influence high organizational commitment on the part of organization members. He further thought that organizational commitment was related positively to individual and organizational performance. McGregor cited reduced employee

absenteeism as an important example of individual and organizational performance. Though he admitted the exact causes of reduced absenteeism could not be definitely known in his particular example of a British coal-mine study of conventional vs. team approaches to organizing, he associated reduced absenteeism with a form of work organization (teams, in this particular example) which allowed workers to integrate their own goals with organization goals. Thus, McGregor was positing a serial linkage from managerial assumptions about the nature of humans, to managerial behavior, to commitment by organization members, to performance. This serial linkage is encapsulated in Figure 2.2.

McGregor continued: Every manager tends to respond to a work environment with some, though not complete consistency. "Taken as a whole, his[/her] predictable ways of coping with the reality of the work environment may be termed his[/her] managerial style" (1967: 58). A manager's style or managerial strategy (strategy is defined to be a deliberately planned style) is profoundly influenced by his/her cosmology. A style or strategy on the part of a manager which would facilitate the Theory Y principle of integration (where members of an organization can supposedly achieve their own goals best by directing their efforts toward the success of the organization) would lead to increased organizational commitment and increased performance on the part of workers. Thus, an effective managerial style or strategy [6] is one which

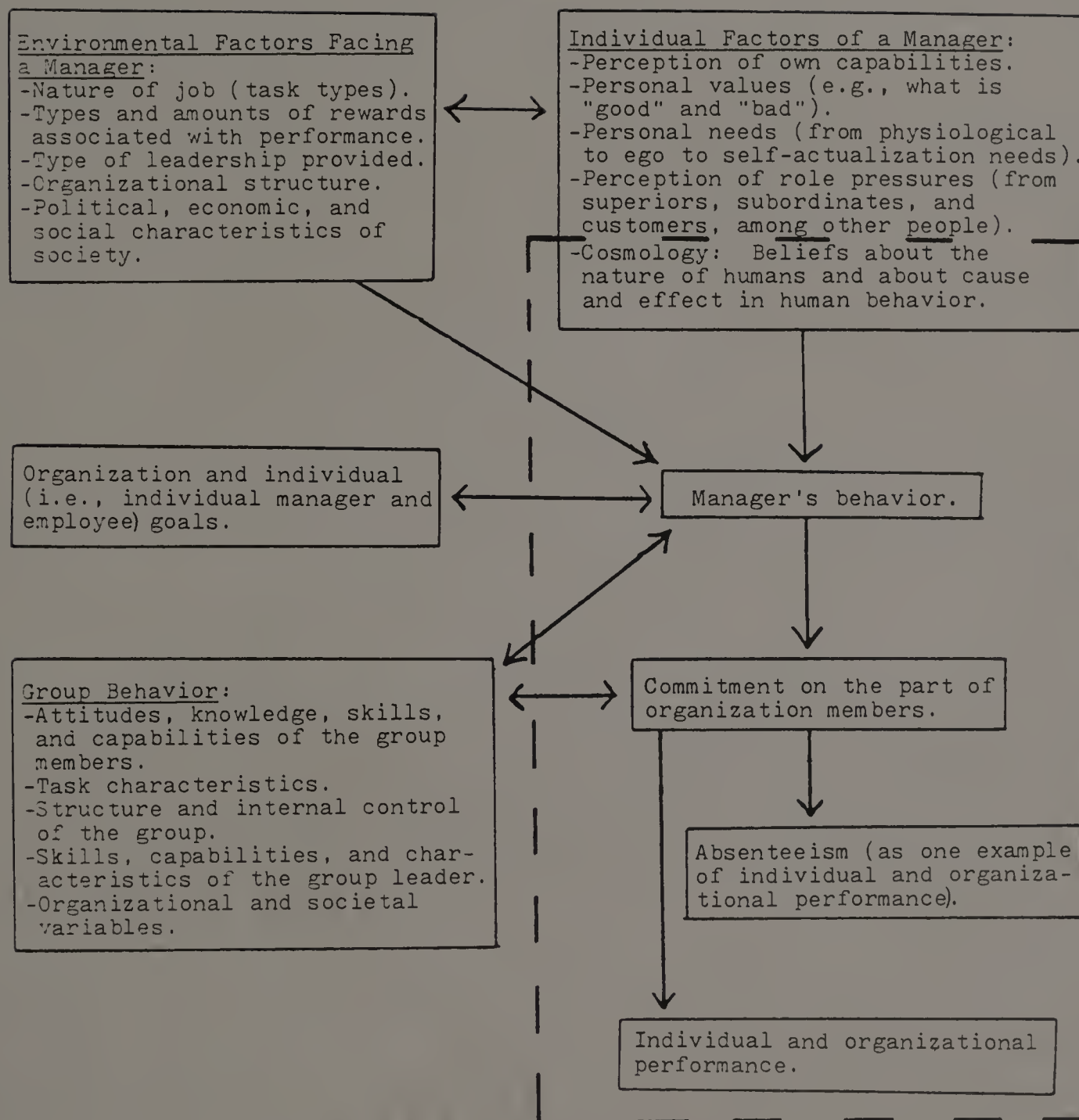


Figure 2.2. The McGregor model of personal and organizational variables. Encapsulated variables represent an important serial linkage cited by McGregor. (Schematic is based on: McGregor, D. [1967]. The professional manager. New York: McGraw-Hill Book Company).

incorporates the transactional character of influence: Workers, as well as managers, have some degree of influence regarding goal setting and work decisions. Any specific managerial tactic to be used at any given time can largely be an invention based on the analysis of each particular situation in the light of a particular managerial style or strategy.

McGregor mentioned another concept which is related to the principle of integration: Identification.

[An individual who identifies with a cause, person, group, or organization] is in effect saying that the goals and values associated with that cause have become his[/her] own. He[/she] then self-consciously directs his[/her] efforts toward those goals and gains intrinsic satisfaction through their achievement (McGregor, 1967: 145).

Now that the writings of McGregor have been described, some comments, laudable and also critical, seem in order.

McGregor is credited with categorizing two philosophies of management under the readily identifiable labels of Theory X and Theory Y (Sullivan, 1975). Many authors and practitioners have paid tribute to Theory-Y type assumptions as a basis for a participative style of management which is credited with increased productivity and respect for workers (e.g., Dickinson, 1986; Kuriloff, 1963; Logozzo, 1986; Miller & Wolf, 1968; Owens, 1983).

The McGregor model of personal and organizational variables seems validated to an extent by the writing of another author. Likert (1967) conceived of organizational variables as being in three sets: Causal variables (such as type of supervision

behavior) affect intervening variables (such as employee loyalty and employee attitudes toward managers) which in turn affect end-result variables (such as amount of production). Like McGregor, Likert put importance on the type of behavior exhibited by a manager: A manager who tends to be authoritarian would affect adversely the intervening and end-result variables, while a manager who tends to allow employees substantial participation in work place activities and decision making would affect positively the intervening and end-result variables. The McGregor and Likert models are remarkably similar: Managerial behavior influences commitment ("loyalty" and other intervening variables according to Likert) which in turn influences performance (called end-result variables by Likert). McGregor, however, placed more emphasis on managerial assumptions than did Likert [7].

In an article which pays tribute to the place of Douglas McGregor in the field of management, Bennis (1972) also acknowledged the criticism, apparently voiced by many people and recognized by McGregor, that Theory X and Theory Y take place in an environmental void.

McGregor's theory of organization depends on a psychologically determined set of superior-subordinate relationships...There are no technological factors, norms, or groups, nor are there economic, cultural, legal or political impositions (Bennis, 1972: 148).

Bennis' criticisms seem especially appropriate to McGregor's early (1960) work. In his later work, McGregor (1967) did mention the

technological factors, norms, groups, and other environmental factors (as shown in Figure 2.1), probably as a result of receiving strong feedback about their absence in his 1960 writing. In a passage that can be construed as support for McGregor, Carbone (1981) wrote that McGregor intended that the precepts of Theory X and Theory Y become a realistic view in which managers could examine their assumptions, test them against reality, then choose a strategy that made sense in terms of the particular situation at hand; Theory X would be a more limiting set of assumptions about human behavior than Theory Y. But Bennis (1972) maintained that McGregor's work never fully reckoned with forces inside and outside of the organization. Bennis' point is well taken; the environmental factors, though mentioned, are not clearly explicated. For example, McGregor straddled the fence on the issue of the relationship between environmental factors and managerial assumptions. On one hand he said that each manager has a predictable style of coping with reality in the work environment, and this style is profoundly influenced by the manager's cosmology. On the other hand, he placed cosmology and managerial behavior in context with environmental variables (see Figure 2.1) and admitted to the complex relationships among all the variables.

The above-mentioned fence straddling on the part of McGregor is mirrored by an interesting phenomenon: Subsequent authors seemed to have fallen on either side of the fence. One group of

authors seemed to subscribe to the idea that managerial assumptions have a profound influence on managerial behavior (Dickson, 1983; Driscill, Carroll, & Sprecher, 1978; Haire, Ghiselli, & Porter, 1966; Owens, 1983; Robinson & Turner, 1973; O'Toole, 1985); for example, Dickson (1983) said, "Participation is intimately associated with managerial practice, and is a manifestation of managerial ideology. Its purpose, process, and outcome are presumed to vary with the ideology of the key powerholders (usually top managers)" (p. 912).

Authors on the other side of the fence contend that Theory X and Theory Y assumptions are incomplete unless placed into, and tailored to, specific environmental situations (Carbone, 1981; Goldstein, 1986; Marsh, 1974; Morse & Lorsch, 1970; Nord, 1978). Let us look at some of these authors' criticisms of Theory X and Theory Y.

Marsh (1974) contended that Theory Y overlooks the distinction between human nature in a general sense and human nature in a particular individual who is in a particular job. In citing the mismatching of workers and jobs in a manufacturing company, Marsh said that Theory Y propositions need to be more specific. For example, Marsh amended Theory Y to indicate that work is as natural as play "only to the extent that the nature of the work is in accord with the abilities and talents of the workers" (p. 87) and that people will exercise self-direction in the service of

organizational objectives "only if there is minimal conflict between his/her personal objectives and the objectives of the organization" (p. 87).

Goldstein (1986) said:

McGregor treated management attitudes as static phenomena. Such treatment may be useful for describing a long-term 'average' attitude, but examination of the short-term stresses to which management is exposed leads to the conclusion that...short-term management attitudes vacillate. They respond to the loss of a key contract, the success or failure of a critical test, or the breakdown of a vitally needed machine. Such stresses produce transient attitude changes that may be diametrically opposite to the long-term 'average' attitude (p. 44).

Though the human nature assumptions of Theory Y may be sound, Nord (1978) claimed conditions in the environment preclude widespread use of the theory. These conditions include: 1) Cooperative human efforts are inhibited by the efforts of each individual who is trying to satisfy his/her own interests in a world of scarce resources; 2) people in organizations do not necessarily share common goals; 3) discrepancies in power exist in most organizations, and some people are likely to take advantage of other people; and 4) organizations under pressure for high production at low cost may resort to routinization rather than some form of job enrichment. Nord summarized by saying that assumptions about individuals, or psychological models, are incomplete without comparable assumptions about the nature of the environment; social, political, and economic changes must accompany psychological models if any new system is to survive and be useful. Finally, Nord

raised a question which makes it clear that psychological statements can possibly be incomplete or inaccurate when they are not investigated in terms of their particular environmental context:

It appears that even lower-level participants, who are often thought to be prime beneficiaries of these changes [deroutinization of work], might prefer [any] slack to be given to them in higher wages or shorter work weeks as opposed to being devoted to making work more interesting and involving. How many people would prefer enriched jobs to say, a 10% reduction in hours of work with no decrease in pay? (p. 65).

As well as there being confusion surrounding the relationship between environmental factors and managerial assumptions, there is confusion on another issue. That issue is the relationship between Theory X and Theory Y. Perhaps the confusion started from the fact that McGregor considered Theory X and Theory Y to be "contrasting views" (McGregor, 1967: 79), yet at the same time asserted that Theory X and Theory Y are qualitatively different and do not lie on a continuous scale (Jacoby and Terborg [1975, p. 1] said succinctly that McGregor was portraying Theory X and Theory Y as "...two contrasting, but not necessarily bipolar, views about human nature..."). Regardless of how the confusion started, there is nonetheless confusion: Some authors, in the development of an instrument to measure Theory X and Theory Y, treated Theory X as a ("contrasting") polar opposite of Theory Y (Allen, 1973; Ford, 1976; Haire, Ghiselli, & Porter, 1966; Robinson & Turner, 1973), while other authors devised an instrument where a respondent is

allowed a Theory X score and also a Theory Y score (Fiman, 1973; Jacoby & Terborg, 1986; Reddin & Sullivan, 1973). This latter set of instruments which allows a respondent both a Theory X score and a Theory Y score seems most consistent with McGregor's thought that Theory X and Theory Y are qualitatively different cosmologies. Given that the concepts of Theory X and Theory Y are specified as qualitatively different cosmologies, it is possible but not necessary that the concepts be correlated. Empirically, fairly strong negative correlations between Theory X scores and Theory Y scores have been reported by Jacoby and Terborg (1975; $r = -.55$) and Fiman (1973). Unfortunately, McGregor himself did not clearly state, or give examples of, how any given individual might relate to both Theory X and Theory Y.

What assumptions do managers hold? Driscoll et al. (1978) maintained that there is scant empirical data about the content of managers' beliefs. It seems paradoxical that there are numerous instruments (listed above) to measure Theory X and Theory Y and yet there is apparently so little information about the content of managers' beliefs, even in terms of Theory X and Theory Y. Perhaps this paradox exists because extant instruments have been used primarily as teaching tools (e.g., Ford, 1976), or have been used to relate managerial assumptions to other variables rather than to report assumption content itself (e.g., Fiman, 1973), or do not relate especially well to measurement in organizational settings

(e.g., Reddin & Sullivan, 1973 [8]). Let us now review the findings that have been reported regarding the content of managers' assumptions.

Three studies report data which is not based on an instrument to measure Theory X and Theory Y per se. Gluskinos and Kestelman (1971) had members of a single company rank order needs ("steady work," "high wages," "chance for promotion," etc.); the authors concluded that there is evidence that managers hold a Theory X view, as managers' responses overemphasized the importance for employees of material rewards and working conditions when compared to the responses of the factory workers themselves. Driscoll et al. (1978) executed a study to empirically examine the beliefs of first-level supervisors to determine what the supervisors think motivates their subordinates.

These first-level supervisors hold what McGregor called Theory Y beliefs about the motivation of their subordinates. First, they identify several different sources of motivation [e.g., work context, organizational policies, commitment to the job]. Second, they see personal commitment to work as more important than economic and disciplinary concerns as a source of motivation (Driscoll et al., 1978: 32, 34).

Myers (1966) relied on Theory X and Theory Y in categorizing style of supervision in a study of 1,344 managers at all levels of Texas Instruments Incorporated in Dallas, Texas (this study focused heavily on behavior, but it was implied that behavior at least to some extent reflects underlying assumptions). Supervisors described favorably by their subordinates in certain terms (terms

such as ability to stimulate enthusiasm, accessibility and willingness to listen to new ideas, and sensitivity to the feelings of others) were labeled "developmental" because of their effectiveness in developing subordinates; supervisors described unfavorably in these terms were labeled "reductive" to denote a propensity for reducing initiative and creativity. "Developmental supervision is synonymous with Theory Y supervision, and reductive with Theory X" (Myers, 1966: 59). Supervisors who fit a pattern between developmental and reductive were labeled "traditional," as they somehow learned to avoid the practice of reductive supervision, yet they fell short of developmental supervision. Significant findings included: 1) The three styles of supervision are fairly uniformly distributed--each style appears about 1/3 of the time--throughout all levels of management; and 2) all managers prefer a developmental supervisor regardless of their own style of supervision.

Other studies have utilized instruments designed specifically to measure Theory X and Theory Y. In testing the hypothesis that managers work from Theory Y assumptions while union officials work from Theory X, Robinson and Turner (1973) found that managers generally reject Theory Y assumptions, while union officials generally accept Theory Y assumptions (margins of rejection and acceptance were slight; the instrument used here treated Theory X and Theory Y as polar opposites). Greene (1981) cited a study

(Allen, 1973) where 259 managers from 93 companies were administered a questionnaire to determine the proportion of managers who shared the attitudes described by McGregor; respondents generally did not subscribe to Theory X or to Theory Y, but to statements that fell between the two extremes [note: This finding may have been enhanced by the design of the questionnaire which may have loaded the intermediate responses to appear to be most reasonable; the questionnaire treated Theory X and Theory Y as polar opposites]. The questionnaire was readministered in 1980 to a similar sample; results were comparable to the earlier results. However, a version of that questionnaire, when administered to approximately 400 students at a large university (Greenlaw, Pitts, & Sims, 1978), indicated a tendency for Theory X mentality. Speculated reasons for the difference between manager and student responses include a difference in exposure to Theory Y and the possibility that the students are reflecting fundamental societal changes.

It is evident that, based on the existing literature reported above, one cannot draw a definitive conclusion regarding the preponderance of Theory X assumptions or Theory Y assumptions in managers.

The present study was guided by McGregor's theoretical model (see Figures 2.1 and 2.2). The model directly addressed the issue of interest, i.e., the relationship of managerial assumptions and

organizational outcomes. This study examined the managerial assumptions-managerial behavior-organizational commitment-employee absenteeism serial linkage which is encapsulated in Figure 2.3. This study thus constituted a partial test of the McGregor model. Employee absenteeism was used as an indicator of individual and organizational performance. Employee absenteeism was selected for measurement in the present study not only because McGregor cited it as an important example in his model, but because absenteeism is a variable which can be specified a priori--other performance criteria may be able to be developed only after it is apparent what kind of data a particular organization can offer. Ultimately, other measures of individual and organizational performance will likely be helpful in understanding the relationship between managerial assumptions and performance; however, it seemed logical to get a feel for how variables "closest" to managerial assumptions (i.e., the variables of managerial behavior and organizational commitment) are related to managerial assumptions before pursuing more extensive work with other indicators of performance.

McGregor maintained that each manager has a generally predictable style, and this style is profoundly influenced by the manager's cosmology. Some authors have made the case that the concepts of Theory X and Theory Y and managerial behavior are incomplete until they are considered in the context of environmental factors. The present study, in following McGregor,

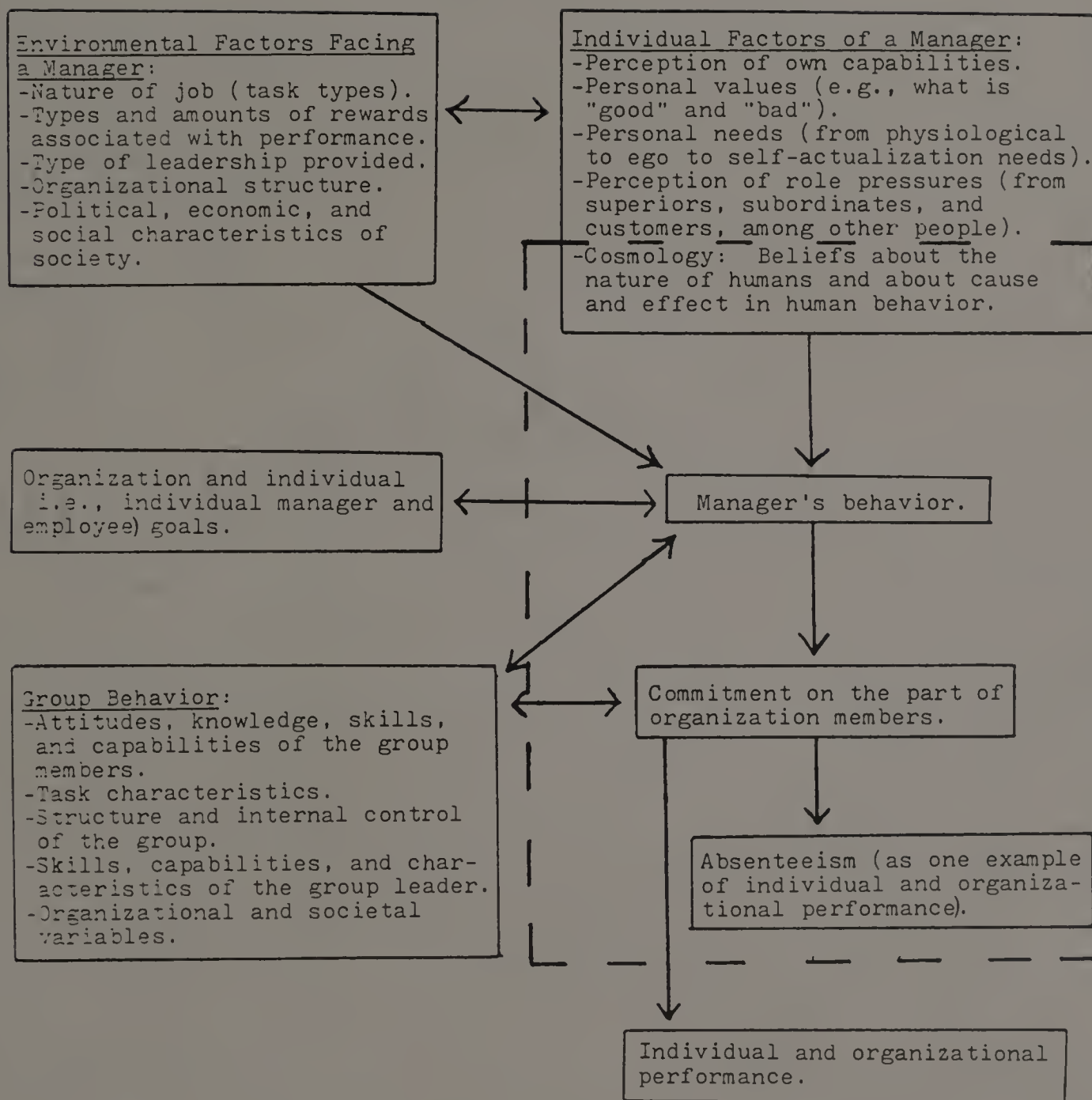


Figure 2.3. The McGregor model of personal and organizational variables. Encapsulated variables represent the focus of the present study. (Schematic is based on: McGregor, D. [1967]. The professional manager. New York: McGraw-Hill Book Company).

worked from the assumption that managerial assumptions and managerial behavior have a certain static strength. This assumption was made because: 1) McGregor made this assumption, and this study was evaluating his model; and 2) the researcher expected that managerial assumptions and behavior have a certain consistency over various conditions.

McGregor treated Theory X and Theory Y as qualitatively separate. Some authors have treated them as polar opposites. This study abided by the assumption that Theory X and Theory Y are qualitatively separate. Such an assumption was at least reasonable, and was faithful to McGregor's theory. Also, the assumption allowed the measurement of Theory X to be independent from the measurement of Theory Y, and information could be obtained on if and how the two scores are empirically related.

Participative Behavior on the Part of Managers

The concept of "employee participation," which can be defined as the practice of increased involvement by employees in the management and/or ownership of the organizations which employ them (Simmons & Mares, 1985), carries with it the implication that managers usually need to act or behave in certain ways to initiate and/or sustain employee involvement. This particular section of the literature review is written with participative behaviors of managers--as opposed to participative behaviors of employees--being principally in mind.

Impetus was likely given to interest in participative behavior by the Coch and French (1948) landmark study on the effect of allowing participation by employees in changing jobs or job methods. The study demonstrated that the rate of recovery to production standard when learning a new or modified job was positively related to the amount of participation. Rates of aggression against management and turnover were inversely related to the amount of participation.

Several leadership theories have heavily incorporated participative behavior in their quest to describe effective leadership behavior. Prominent among these theories are those of McGregor (1960, 1967), Blake and Mouton (1985), Likert (1967), and Vroom and Yetton (1973). Let us look at these theories in the context of managerial behavior.

As it was indicated earlier in the paper, McGregor (1960, 1967) maintained that the central principle of organization which derives from Theory X is that of direction and control, while the central principle which derives from Theory Y is that of "integration" (members of an organization can supposedly achieve their own goals best by directing their efforts toward the success of the organization). McGregor favored the use of a managerial style which would facilitate the principle of integration, and such a style might certainly recognize a transactional character of influence where workers as well as managers have some degree of

influence regarding goal setting and work decisions [9]. It seems imperative to now stress for the reader that McGregor saw participation of all organization members not to be used as a managerial device, but rather as a natural concomitant of management by integration and self-control. The particular role of the manager vis-à-vis subordinates is teacher, helper, colleague, and consultant.

Blake and Mouton (1985; the first edition of this writing came out in 1964) united two concerns on the part of managers--concern for production and concern for people--into a grid which is used for understanding the exercise of leadership styles. The authors favored the style which integrates high concern for production with high concern for people; this style is a team approach which relies on the principle (among other principles) of shared participation in problem solving and decision making. Guidelines for tactics of teamwork were discussed at length [10].

Likert (1967) presented a model for different strategies of management, the strategies ranging from System 1 (authoritarian management) to System 4 (participative management). Likert presented evidence that System 4 is the most productive strategy of management. System 4 management relies on the use of group decision making, the building of a sense of worth in all employees, and the setting of high performance goals.

Vroom and Yetton (1973) constructed a contingency model of leadership which requires that a leader determine, by answering a series of questions about the particular work situation, how much participation subordinates should have in decision making. Possible leadership styles range from making a decision oneself, to soliciting input from employees before making a decision oneself, to allowing subordinates to make the decision for themselves. Each of the various leadership styles will supposedly be effective when matched with an appropriate situation.

The above leadership theories are subject to a basic evaluation, of both strong and weak points, which can be found in Gray and Starke (1984). For example, Likert (1967) is criticized on the basis that empirical support for his theory is generated almost exclusively by Likert and his associates.

It seems difficult to generalize usefulness and popularity of leadership theories in relation to managers. It is probably safe to say, however, that of the above-mentioned theories, the work of Blake and Mouton and of Vroom and Yetton offer the most prescribed set of behaviors for managers. The theories of McGregor and Likert, on the other hand, are very broad and far from exact "how to" specification [11]. Despite their lack of specificity, it is likely that the theories of McGregor and Likert did, to some extent, influence employee participation programs (Logozzo, 1986).

Employee participation is a huge area of study, encompassing topics and programs ranging from employee ownership to the Scanlon plan (a profit-sharing plan which benefits workers and management as workers and management closely interact to improve products and reduce costs) to industrial democracy (where representatives of management and of workers jointly establish policies which affect workers' welfare) to various quality of work life programs (e.g., job enrichment, quality circles, and restructuring work for a team approach).

Sherer (1984; unpublished comprehensive examination) reminded us that there are usually two overriding goals to employee participation programs which are designed to improve quality of work life: 1) The goal of increasing organizational effectiveness, usually discussed in terms of organizational productivity; and 2) the goal of increased humanization of the work environment, usually discussed in terms of worker attitudes. Results in terms of these goals are equivocal. Logozzo (1986), in a comprehensive review of the impact of three major types of employee participation programs (quality circles, quality of work life programs, and autonomous work groups [12]), found that: 1) There is tentative evidence that there are associated with quality circles increases in productivity and in employee motivation and satisfaction; 2) it is not at all definitive whether increases in productivity and in employee motivation and satisfaction are associated with quality of

work life programs; 3) there is some tentative evidence that autonomous work groups are associated with increases in productivity and in employee motivation and satisfaction; and 4) evaluation of the impact of quality circles, quality of work life programs, and autonomous work groups is made difficult by the methodological shortcomings of the studies which try to evaluate the programs.

Though participative strategies can be applied to various processes throughout an organization [13], many authors have focused on a process which is deemed of central importance in the work lives of employees. That process is "participation in decision making" (e.g., see the recent study by Jackson, 1983). The importance attached to decision making is consistent with McGregor: It can be recalled that he considered an effective managerial style or strategy to be one which incorporates the transactional character of influence where workers, as well as managers, have some degree of influence regarding goal setting and work decisions. One relationship which he emphasized is the superior-subordinate relationship, where the two parties collaborate to mesh individual and organization goals [14].

Locke and Schweiger (1979) noted surprisingly little consensus as to the meaning of participation in decision making (PDM); for example, some authors include "delegation" within PDM while other authors do not, and certain authors identify PDM with group

decision making while others allow PDM to occur between individuals as well as in groups. Locke and Schweiger set forth what they consider to be a clear definition: PDM is joint decision making by at least two people; i.e., PDM refers specifically to participation, by two or more people, in the process of reaching decisions.

Locke and Schweiger (1979) indicated that the body of PDM literature is enormous but maintained that their extremely comprehensive review can give an accurate indication of what is known about the effectiveness of PDM. They use two broad classes of criteria to evaluate PDM effectiveness: Production efficiency (decision quality is included in this category) and satisfaction or morale. Their review of numerous studies indicated that regarding the productivity criterion there was no trend in favor of participative leadership as compared with more directive styles; also, regarding the satisfaction/morale criterion, participative methods were favored over directive methods, however 39% of the studies did not find PDM to be superior ("organizational commitment," which is of concern to McGregor, did not seem to be singled out as a variable in the studies as reported by Locke and Schweiger). Locke and Schweiger thought that both the generally equivocal results above and logic make it clear that the effectiveness of PDM depends on a number of contextual factors [15]. Factors that have been found or asserted to determine the

effectiveness of PDM are (Locke & Schweiger, 1979): Individual factors of knowledge and motivation; also, organizational factors of task attributes, group characteristics, leader attributes, leader attributes in relation to group members, and organization and group sizes.

Follower attributes, as opposed to leader attributes mentioned immediately above, in relation to PDM were the focus of a now-famous study: Vroom (1960) set out to determine whether the effects of participation in decision making vary with the personality of the follower. "The evidence suggests that authoritarianism and the need for independence interact with participation in determining attitudes toward the job and motivation for effective performance" (p. 71). Incidentally, the findings of this study also indicated that participation, in general, will lead to more favorable attitudes toward the job.

As in the Vroom (1960) study, personal attributes played a key role in a more recent study. Ruble (1976) had subjects complete the Internal-External Locus of Control Scale (Rotter, 1966) to distinguish "internal" people (those who generally feel they have personal power to influence outcomes) from "external" people (those who generally feel they lack personal power to influence outcomes).

Internals performed better when provided the opportunity to plan their own procedures while externals performed better when a manager planned for them [results for externals were not statistically significant]. However, both internals and externals were most satisfied in the self-planning condition (Ruble, 1976: 63).

Before leaving the topic of participation in decision making, a final comment, based on the Vroom (1960) study, is in order. Vroom obtained four measures of perceived participation: Psychological participation, designed to measure the extent to which an individual feels he/she influences his/her superior in decision making; superior-reported participation, i.e., a superior rates the amount of influence his/her subordinate has in decision making; subordinate-reported participation; and peer-reported participation. "To the extent that [the four measures of perceived participation] are highly related, one might conclude that they are really measuring objective participation" (Vroom, 1960: 27). Correlation showed the four measures to be generally unrelated. Vroom cited possible reasons, including the fact that parallel items were not used in each measure, and cautioned that

...these results indicate that none of the participation indices may safely be regarded as measuring objective participation. While any one of the four indices may be a measure of this variable, there is no way of telling which one it is (Vroom, 1960: 27-28).

This section has indicated the extensive amount of theoretical and empirical interest in participative management. Though results of participative management are far from totally favorable, neither is there a message of consistent failure. Thus, the topic of participative management remains at least viable.

Though participative strategies can be applied to various processes, the present study focused on participation in decision

making. The process seems to have substantial importance in the work place, and the process is consistent with McGregor's concept of the transactional character of influence where both workers and managers have some degree of influence in goal setting and in work decisions.

The present study did not measure characteristics of individuals, such as their authoritarianism (Vroom, 1960) or their locus of control (Rotter, 1966; Ruble, 1976). Though such information might contribute information as to how different types of individuals react to different styles of managerial behavior, the variables were not included so that demands on the organization which was participating in the study could be kept to a reasonable level.

A perceptual measure of managerial behavior as related to participation in decision making was used in the present study. Though perception may vary depending on whether a superior or a subordinate is reporting (Vroom, 1960), it was maintained for the purpose of this study that the perception of the subordinate is most relevant since any subordinate's reactions will logically depend on how that subordinate perceives his or her manager to behave.

Employee Commitment to Organizations

Mowday, Porter, and Steers (1982) have summarized current theory and research on employee commitment to organizations. The

authors commented that though employee commitment has not received the same amount of empirical attention as turnover or absenteeism, commitment has become a frequent topic in journals dealing with organizational behavior [16]. The authors cited several reasons why the topic of organizational commitment has received substantial attention [17]: 1) The theory underlying commitment suggests commitment to be a reasonably reliable predictor of certain behaviors: "Committed people are thought to be more likely to remain with the organization and work toward organizational goal attainment" (p. 19); 2) organizational commitment seems appealing and interesting in its own right to managers and social scientists; and 3) an increased understanding of commitment may help to explain the processes by which people choose to identify with entities in the environment and make sense out of this environment.

Mowday et al. (1982) reviewed different meanings and typologies that have been attached to organizational commitment and, for their own purposes, settled on a distinction between attitudinal commitment and behavioral commitment. Both approaches are held by the authors to be useful. Attitudinal commitment focuses on processes by which people think about their relationship with an organization, while behavioral commitment refers to the processes "by which individuals become locked into a certain organization and how they deal with this problem" (Mowday et al., 1982: 26) [18].

Cook and Wall (1980) took an approach to defining organizational commitment which is attitudinal in the Mowday et al. (1982) sense. Cook and Wall maintained that organizational commitment refers to a person's affective reactions to his/her employing organization. In drawing heavily on distinctions given by Buchanan (1974), Cook and Wall offered three important components of organizational commitment: 1) Identification, which involves pride in the organization and internalization of the organization's goals and values; 2) involvement, which involves willingness to invest personal effort, as a member of the organization, for the sake of the organization; and 3) loyalty, which involves affection for, and attachment to, the organization, and a sense of belonging demonstrated as a "wish to stay" [19]. Organizational commitment, said Mowday, Steers, and Porter (1979), "...represents something beyond mere passive loyalty to an organization. It involves an active relationship with the organization such that individuals are willing to give something of themselves in order to contribute to the organization's well being" (p. 226).

Organizational commitment, when viewed as a concept with the above definition, seems to be a concept different from--though related to--the concept of motivation. "Motivation" is that which provides something that prompts a person to act in a certain way, according to the Random House Dictionary (1967). Unlike the

concept of motivation, the concept of organizational commitment is very specific in relating an individual to an organization. Also, though organizational commitment could--at an individual's discretion--likely serve as motivation, there are many things, attitudes, and processes other than organizational commitment which could feasibly serve as motivation.

Organizational commitment, when viewed as an attitude, is distinguished from job satisfaction [20] in that commitment emphasizes attachment to the employing organization, including its goals and values, while satisfaction emphasizes responses to the specific task environment where an employee performs his/her duties (Mowday et al., 1982).

Moreover, organizational commitment should be somewhat more stable over time than job satisfaction. Although day-to-day events in the work place may affect an employee's level of job satisfaction, such transitory events should not cause an employee to reevaluate seriously his or her attachment to the overall organization. Available longitudinal evidence supports this view... (Mowday et al., 1982: 28).

A widely used instrument to measure organizational commitment is the Organizational Commitment Questionnaire (OCQ) of Mowday, Steers, and Porter (1979). The OCQ is the instrument upon which findings reported in Mowday et al. (1982) are based. Other instruments are available (see Cook, Hepworth, Wall, & Warr, 1981, for a listing). Of the available instruments, one by Cook and Wall (1980) has several items which at face value seem closest to measuring the integration--emphasized so heavily by McGregor--of

personal and organization goals. For example, one such item is "To know that my own work had made a contribution to the good of the organization would please me." As will be explained in the text ahead, the Cook and Wall (1980) instrument was utilized in the present study.

In discussing possible antecedents of organizational commitment, Mowday et al. (1982) reviewed at least 25 variables that have been found to be related with organizational commitment. The variables reviewed are related to personal characteristics of individual organization members, to role-related characteristics, to structural aspects of the organization, and to work experiences encountered by the employee. Mowday et al. reported that though some mixed findings have emerged, in general commitment has been positively related to both age and tenure.

In support of at least a moderate relationship between these variables, March and Simon (1958) noted that as age or tenure in the organization increases, the individual's opportunities for alternative employment become more limited. This decrease in an individual's degrees of freedom may increase the perceived attractiveness of the present employer, thereby leading to increased psychological attachment (Mowday et al., 1982: 30).

Level of education has often been found to be inversely related to commitment:

It has been suggested that this inverse relationship may result from the fact that more highly educated individuals have higher expectations that the organization may be unable to meet. Moreover, more educated individuals may also be more committed to a profession or trade. Hence, it would become

more difficult for the organization to compete successfully for the psychological involvement of such members (Mowday et al., 1982: 30-31).

Gender has been found to be related to commitment, with women as a group being more committed than men:

Grusky (1966) explained this relationship by arguing that women generally had to overcome more barriers to attain their positions in the organization, thereby making organizational membership more important to them (Mowday et al., 1982: 31).

In discussing possible consequences of organizational commitment, Mowday et al. (1982) indicated that there is a weak relationship between commitment and job performance; few important correlations have emerged in individual-level and group-level studies, though correlations are consistently in the predicted direction and sometimes reach statistical significance.

Several factors may account for this. In particular, following contemporary theories of employee motivation, performance is influenced by motivation level, role clarity, and ability (Porter & Lawler, 1968). Attitudes like commitment would only be expected to influence one aspect of actual job performance. Hence, we would not expect a strong commitment-performance relationship. Even so, we would expect commitment to influence the amount of effort an employee puts forth on the job, and this effort should have some influence on actual performance (Mowday et al., 1982: 36).

Regarding other possible consequences of organizational commitment, the Mowday et al. (1982) review of literature indicated modest support for a positive relationship between organizational commitment and attendance, and strong support for an inverse relationship between organizational commitment and subsequent turnover.

Following the theory, it is our belief that the strongest or most predictable behavioral outcome of employee commitment should be reduced turnover. Highly committed employees by definition are desirous of remaining with the organization and working toward organizational goals and should hence be less likely to leave (Mowday et al., 1982: 38).

Angle and Perry (1981), in drawing on the work of others (Harris & Eoyang, 1977; March & Simon, 1958) distinguished two components of organizational commitment: The extent to which employees are committed to remain with the organization and the extent to which employees are committed to work in support of organizational objectives. Measures of employee turnover would be salient indicators of the commitment to remain with the organization, while measures related to a decision to exert effort and to produce for the organization (e.g., performance indicators of service efficiency, attendance, and punctuality in arriving at work) would be the indicators of choice when examining the extent to which employees are committed to work in support of organizational objectives (Angle & Perry, 1981). In empirical work which utilized subscales reflecting the two components of organizational commitment just described, Angle and Perry found evidence, admittedly preliminary and statistically nonsignificant, that pointed to the possibility that any impact of employee commitment on the organization may depend on the specific kind of behavior to which the employees are committed (i.e., the commitment to stay with the organization vs. the commitment to support organizational objectives).

The present study focused on attitudinal commitment, where the attention is on processes by which people think about their relationship with an organization (Mowday et al., 1982). The study did not focus on behavioral commitment, where the attention is on how individuals become locked into an organization and how they deal with this problem.

This study utilized the Cook and Wall (1980) definition of organizational commitment. However, for the purposes of this study, emphasis was on two of the three components of organizational commitment. The emphasis here was on the components which Cook and Wall call "identification" and "involvement." These two components were stressed because they dovetailed nicely with McGregor's theory: McGregor maintained that once an individual's goals are linked with an organization's goals (this is "identification" of the individual with the organization), then the individual will self-consciously direct his/her efforts toward achieving those linked goals (this is "involvement" with an organization). The third component--loyalty, manifested as a desire to stay with the organization--was not emphasized here. Loyalty was not emphasized because this component of commitment was not addressed by McGregor, and the component takes us away from McGregor's singular emphasis on meshing individual and organizational goals. Put in the Angle and Perry (1981) framework, this study emphasized the commitment to support organizational

objectives (McGregor addressed this type of commitment) while de-emphasizing the commitment to stay with the organization (McGregor did not address this type of commitment).

Absenteeism

Price and Mueller (1986) affirmed the definition of absenteeism as nonattendance when an employee is scheduled to work. After Steers and Rhodes (1978), Price and Mueller accepted the distinction between voluntary (an employee chooses to call in absent) vs. involuntary (events such as accidents or sickness remove the element of choice) absenteeism and remarked that though the distinction is useful, the distinction is difficult to operationally assess. Mowday et al. (1982) reviewed the relationship between the concepts of employee absenteeism and employee turnover: They concluded that though it is expected that there be some modest relationship between factors that influence absenteeism and turnover, the relationship would not be a strong one. They think that employee absenteeism should be studied in its own right rather than as an analogue of turnover.

Mowday et al. (1982) indicated that absenteeism, which averages about 3% of scheduled work time in the United States, is a costly concern. Though most people and most researchers share a basic assumption that absenteeism is harmful for organizations (Marcus & Smith, 1985), Mowday et al. (1982) and Marcus and Smith (1985) reviewed the possibility that some absenteeism may not

necessarily lead to reduced production efficiency. That is, absenteeism may relieve workers from job stress and allow them to be more productive upon return to work.

Mowday et al. (1982) maintained that there is no uniformly accepted classification scheme for assessing absenteeism. They cited indices used by various authors, indices which include absence frequency (total number of times absent) and absence severity (total number of days absent).

Further compounding the problem of measuring absenteeism is the fact that the various measure [e.g., absence frequency and absence severity] used in empirical studies are not typically related to one another [when the various measures are correlated with one another] (Mowday et al., 1982: 81).

The possibility of certain employees accruing a substantial number of absences while their fellow employees accrue few or no absences (Mowday et al., 1982) carries an implied caveat that any absenteeism rate which is reported on a group basis would need to be inspected carefully.

Price and Mueller (1986) reviewed concisely three of the various measures of absenteeism cited by the Chadwick-Jones, Nicholson, and Brown (1982) study on absenteeism: "Time lost" is the total number of days lost per year for any reason, "frequency" is the total number of inceptions of absence occurrences in a year, regardless of duration of each absence occurrence, and "short-term" absence is the total of one-day and two-day absences per year.

Frequency and short-term absences are, according to the researchers, the preferred measures of voluntary absenteeism.

Both measures will to some extent tap involuntary absence, but it is the time-lost measure that is more sensitive to long-term absences, which are more likely to be involuntary. The exercise of choice, in short, is most apparent in frequency and short-term absenteeism (Price & Mueller, 1986: 20).

An extensive review of the literature on absenteeism is found in Mowday et al. (1982). These authors also presented a model of employee attendance (the converse of employee absenteeism). The model, which is based on the work of Steers and Rhodes (1978), attempts to portray major influences on employee attendance. Basically, the model posits that employee attendance is largely a function of two important variables: 1) An employee's motivation to attend; and 2) an employees's ability to attend. The model is presented in Figure 2.4.

One relationship of importance in the present study was between organizational commitment and employee absenteeism. It can be seen in Figure 2.4 that organizational commitment has a place in the model of major influences on employee attendance.

If an employee firmly believes in what an organization is trying to achieve (that is, he or she is committed to the organization), he or she should be more motivated to attend and contribute to those objectives...Support for this proposition can be found in Hammer, Landau, and Stern [1981], Mowday et al. (1979), F. J. Smith (1977), Steers (1977a) and Terborg et al. (1980), where commitment and attendance were found to be related for five separate samples of employees (Mowday et al., 1982: 95-96).

Though organizational commitment is supported, by the model and cited evidence, as being a major influence on employee attendance,

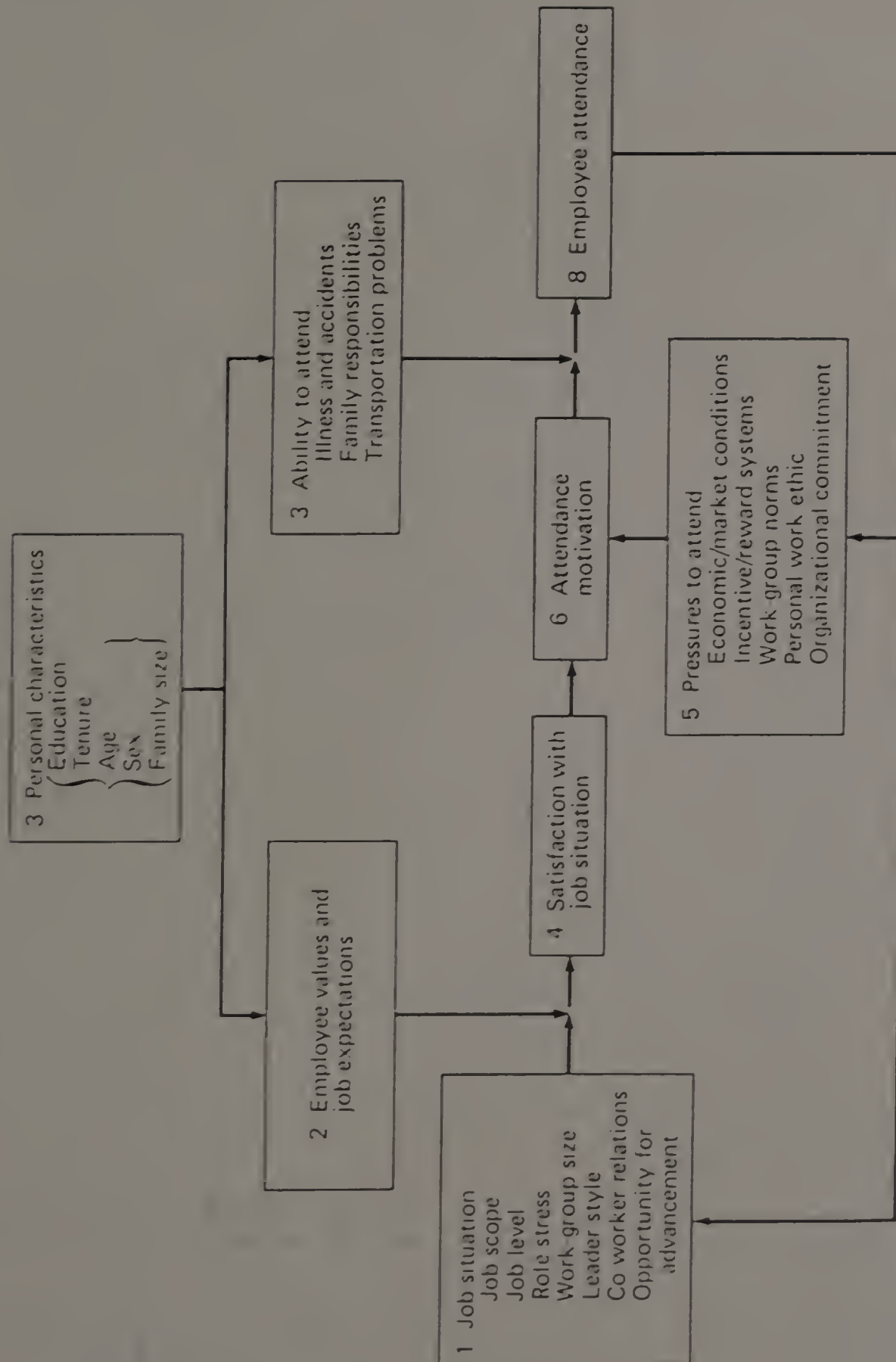


Figure 2.4. Major influences on employee attendance. (Figure is from Mowday et al. [1982] and based on Steers and Rhodes [1978]).

it must be remembered that the model considers organizational commitment to be only one of plural influences on attendance.

The Steers and Rhodes (1978) model above has come under criticism from Chadwick-Jones, Nicholson, & Brown (1982). Chadwick-Jones et al. saw the model as overemphasizing the intraindividual determinants of absence; though the authors did not want to deny the reality of individual motivations, they advocated the development of a theory that is social, rather than individual, in emphasis--i.e., individual absences take place within socially set limits [21]. Absenteeism levels, it was argued by the authors, reflect social exchange (e.g., employees trade off absences against work pressures or boredom) and are "set" by some form of agreement among employees and between employees and employers.

The McGregor model, and this study, made the assumption that absenteeism is detrimental to the performance of individual employees and the organization at large. The McGregor model, and this study, were concerned with voluntary absenteeism which would reflect a lack of commitment to seeing the organization accomplish its goals. The use of either the measure of "frequency" absenteeism (the total number of inceptions of absence occurrences per year, regardless of the duration of each absence occurrence) or the measure of "short-term" absenteeism (the total of one-day and two-day absences in a year) would have been acceptable in this study as either measure is sensitive to voluntary absenteeism (see

Price & Mueller, 1986). This study used the measure of frequency absenteeism.

The Relationship of Managerial Assumptions to Managerial Behavior,
Employee Attitudes, and/or Performance Outcomes

McGregor's theory is relatively devoid of supporting data. Few studies have ever examined the prediction that managerial behavior and the work group's [attitudes and] effectiveness are a function of the manager's view of human nature (Jacoby & Terborg, 1975). Let us review the few studies which have attempted to offer data related to McGregor's theory.

Brown and Ladawan (1979) administered the Managerial Philosophies Scale (Jacoby & Terborg, 1986, latest version) to department heads and department members in a university in Thailand [22]. Results indicated that being in favor of Theory X or Theory Y, or being under leaders whose philosophies were Theory X or Theory Y, did not seem to indicate whether members' perceived satisfactions with leadership in selected organizational processes (confidence and trust in leadership, communication, control, decision-making, and interaction-influence) were different.

Hall and Donnell (1979) investigated, for 676 managers from 14 different types of organizations, managerial achievement in relation to managerial assumptions. The measure of managerial achievement was a variation of a formula developed by Dr. Benjamin Rhodes.

The Rhodes Managerial Achievement Quotient (MAQ) affords an evaluation of an individual's career progress in light of his[/her] chronological age, taking into account the number of career moves necessary to reach the top of a typical organization and the age span most germane to career planning (Hall & Donnell, 1979: 81).

Subjects were assigned, on the basis of standardized MAQ scores, to Low, Average, or High Achievement groups. Strength of a manager's subscriptions to Theory X and to Theory Y were measured by the Managerial Philosophies Scale (MPS; Jacoby & Terborg, 1986, latest version). Achievement group membership served as the dependent variable, and scores from the X and Y scales of the MPS were the independent variables. As McGregor's theory would lead us to expect, adherence to Theory X propositions regarding those in one's work environment was associated with lower levels of managerial achievement. The converse expectation that adherence to Theory Y facilitates managerial accomplishment failed to receive support. Though on the surface this study may indicate that managerial achievement is inversely related to Theory X and not related to much else, the authors suggested that maybe what is needed is the examination of the total profile of both Theory X and Theory Y scores for managers. The High Achievement group fell well below the standardized mean for Theory X and equally above the mean for Theory Y. No such clear pattern emerged for Low and Average Achievers.

Indeed, from our results, Low and Average Achievers display something akin to what Myers [1966] has called a Traditional View: Theory X tempered by human relations training or,

perhaps, social desirability effects. Thus, the present results appear more suggestive than definitive; they point up the significant negative relationship between a Theory X subscription and managerial achievement and they suggest, moreover, that a more critical consideration might well be the degree of subordination of Theory X beliefs to Theory Y assumptions as a precursor to achievement (Hall & Donnell, 1979: 85) [23].

The authors concluded that managerial cosmologies do play a part in distinguishing among managers of differing achievement. It should be kept in mind by the reader that the indicator of managerial achievement (the MAQ, pilot tested by the authors and held to be a robust and reliable indicator of managerial performance) refers to a manager's personal career progress; though this is clearly one measure of individual managerial performance, it is not a direct measure of task performance on the part of the manager, nor is it a measure of task performance on the part of subordinates either individually or collectively [24].

Boy (1982) attempted to determine if selected aspects of a respondent's background, value system, and leadership style would predict organizational effectiveness at a large manufacturing company. Respondents, who were a sample of first shift engineering and engineering support people, filled out a personal value questionnaire, a leadership style questionnaire, and an organizational effectiveness questionnaire. The expectation that there would be a difference among the values held by respondents depending on their demographic backgrounds (age, sex, education level, managerial and military experience, and leadership training)

was supported. For example, the older the respondents, the more conforming, cautious, and security minded they tended to be. The expectation that different value factors would significantly predict Theory X and Theory Y tendencies was supported:

Specifically, respondents leaned towards Theory X if they: were power-authority based; scored low in compassion, trust and cooperation; scored high in risk and force; and scored high in productivity and profit maximization. Respondents leaned more towards Theory Y if they: valued compromise, rationality and fairness; scored high in social welfare and compassion; and valued such items as industry leadership and organizational growth (Boy, 1982: v).

It was expected that there would be a relationship between Theory X and Theory Y scores and organizational effectiveness. Boy predicted, in opposition to McGregor's formulations, that Theory X scores would be associated with organizational effectiveness and based his prediction on the observation of authoritative behavior on the part of high-level personnel at the organization studied. Results indicated that Theory X scores alone and Theory Y scores alone do not predict the measures of organizational effectiveness. Boy devised and tested a model which can basically be described as demographics predicting values in people, values predicting leadership styles, and leadership styles predicting organizational effectiveness. His results supported the first two parts of the model, but the relationship of leadership styles to organizational effectiveness was generally not substantiated.

The title of the Boy (1982) study may lead one to believe that it would be nearly identical to the present study, but closer

examination indicates the two studies are not very similar. The Boy study focused on the antecedents of subscription to Theory X and Theory Y (the present study did not), had respondents at the same organizational level fill out all questionnaires (the present study made the shift from managerial assumptions and [subordinate perceived] managerial behavior to subordinate organizational commitment and performance), and did not examine organizational commitment (as the present study did). Also, the Boy study had two significant limitations which the present study hopefully alleviated: The Boy research confounded assumptions and behavior by obtaining Theory X and Theory Y belief scores and using those scores as indicators of leadership (implying behavior, now) style. And the Boy study, though it obtained separate Theory X and Theory Y scores as McGregor would prescribe, used an instrument which sets up statements so that Theory X is in a polar-opposite format to Theory Y--thus, the Theory X and Theory Y scores likely demonstrate some form of relationship solely as a result of instrument design (Boy recognized both limitations mentioned here). The present study measured managerial assumptions apart from managerial behavior, and used an instrument to obtain Theory X and Theory Y scores which does not force Theory X and Theory Y into polar-opposite format. Finally, in the Boy study, measures of organizational effectiveness were limited to measures of personal success on the part of respondents (career satisfaction, salary

increases, promotions, and managerial citations); similar to the case with the Hall and Donnell (1979) study, this type of measure does not directly measure task performance on the part of managers or their subordinates. Though the performance indicator (absenteeism) in the present study was also limited, the McGregor model indicated that absenteeism will be representative of individual and organizational performance at the rank-and-file level.

Fiman (1973) studied, with a sample of female secretarial and clerical workers and their office managers, the relationships among sets of assumptions of the supervisors, their leadership styles, and output of their subordinates. Specifically, the study addressed the hypothesis that a Theory Y set of assumptions is associated with effective supervisory performance. Fiman developed his own questionnaire to measure Theory X and Theory Y. Supervisory behavior was measured according to Fleishman's "Consideration" (called C behavior by Fiman) and "Initiating Structure" (called IS behavior), and behavior was also measured by a scale specifically developed to measure behavior directly related to creating opportunities for the satisfaction of higher-level needs (called Y behavior). A measure of job satisfaction was used, and supervisory rankings and ratings served as performance criteria.

If a supervisor is perceived [by her subordinates] to have a high [Theory X] set of assumptions about human nature, she is

also perceived to exhibit relatively low Y and C behaviors and high IS behaviors...Supervisors who are perceived as possessing a higher Theory Y attitude are perceived as behaving to a greater extent according to a Y and C behavioral style and to a lesser extent according to an IS behavioral style. These relationships are much less clear when the supervisor's self-responses are used to represent supervisory attitude and behavior (Fiman, 1973: 98-99).

Fiman concluded that the findings give support to the Theory Y framework: Subordinates who perceive their supervisors as having a Theory Y view or expressing behavior consistent with such a view tend to be more satisfied with their job; this finding holds only when supervisor characteristics are based on the perception of subordinates, not when the supervisor's own responses are utilized to measure supervisor attitude and behavior. "However, the data do not indicate any relationship between Theory Y supervisory characteristics and the subordinate's level of performance" (Fiman, 1973: 101). One reason for this lack of relationship, speculated the author, was the weakness of the performance criteria (supervisory rankings and ratings). Another speculated reason was that the work output at the secretarial/clerical level may be relatively fixed so that changes in the job environment may be associated with changes in subordinates' feelings but not in performance. Finally, it should be noted that though Fiman's study followed McGregor's theory very closely, Fiman did not emphasize the variable of organizational commitment, a variable which plays a key role in the McGregor model.

Since there are so few studies which look at managerial assumptions and their consequences, that topic, and the McGregor model, seem wide open to empirical research. The present study investigated McGregor's model and included, as no previous study had, the variable of organizational commitment.

The Relationship of Managerial Behavior to Organizational Commitment and/or Performance Outcomes

As indicated in the section above, certain studies (Coch & French, 1948; Ruble, 1976; Vroom, 1960) and certain theories (Blake & Mouton, 1985; Likert, 1967; McGregor, 1960, 1967; Vroom & Yetton, 1973) offered support to varying degrees for participative management. It was also indicated that results are equivocal for employee participation programs (Logozzo, 1986) and for participation in decision making (Locke & Schweiger, 1979). Several other articles, which tie managerial behavior to commitment and/or performance outcomes, will now be reviewed. The Salancik (1982) paper is theoretical, while the remaining studies are empirical.

Salancik (1982) maintained that, in general, any characteristic of a person's job situation which reduces his/her felt responsibility will reduce commitment; though many characteristics of job situations (e.g., the level of the job in the organization's hierarchy) can affect perceptions of responsibility, the manner in which a job is supervised can also affect perceptions of responsibility.

While the precise effects of various supervisory conditions on commitment have not been well studied, we would expect that high output monitoring [so the worker knows his/her outcomes and knows the outcomes are known by others] coupled with low behavioral control would lead to the greatest felt responsibility on the part of the worker (Salancik, 1982: 18).

Rhodes and Steers (1981) proposed and empirically tested portions of a theoretical model based on the characteristics which distinguish the producer cooperative (a type of worker-owned organization) from a conventional organization. Results included that perceived participation in decision making was greater in the producer cooperative than in the conventional sample, and that participation in decision making was significantly related to commitment in both the cooperative and conventional samples. Contrary to one of the predictions of the study, absenteeism was greater in the cooperative than in the conventional firm. The authors speculated that other factors, such as absence-control policies, may be as salient as commitment in explaining attendance behavior.

Benjamin (1982) investigated organizational commitment in the context of the participative technique of quality circles (a quality circle is a group of employees who meet on a regular basis to identify and solve work-related problems). Contrary to theory which would link participation and commitment, no significant difference was found between the expressed commitment of participants and nonparticipants of quality circles.

Platten (1984) examined the effectiveness of quality circles at a large manufacturing facility. Hypotheses included that subjects in departments with quality circles vs. those in departments without quality circles would have higher commitment to the organization and demonstrate higher satisfaction, higher productivity, higher product quality, and lower absenteeism. While commitment, productivity, and quality were found to be higher for quality circle participants, absenteeism and satisfaction did not show significant differences between groups. Further analysis indicated that organizational factors which were not measured may have affected absenteeism. Also, said the author, the facets of satisfaction tapped by the study may not be the ones highly impacted by the structure of quality circles. The study also tested a model of the quality circle process that proposed that organizational commitment would emerge as an intervening variable between job enrichment dimensions and the outcome (productivity, product quality, satisfaction, and absenteeism) variables.

In regard to the model of Quality Circle process, organizational commitment was related to job enrichment variables, but unrelated to outcome variables. It was suggested that the reason for this result was the lack of direct job enrichment by Quality Circle intervention. Most changes to the job in Quality Circles were made to peripheral issues, such as feedback on performance and input into job-related decisions, but failed to make a large impact on work methods, procedures or pay practices (Platten, 1984: ix).

With a sample of professional employees from one corporation, Zahra (1984) showed that psychological (perceived) participation in

decision making is significantly correlated with organizational commitment (other variables related to background, the work situation, personality, and attitude were also concluded to be significant antecedents of commitment). Regarding potential outcomes of organizational commitment, attendance and overall performance (as measured by supervisory evaluation) were found, among other variables, to be positively correlated with organizational commitment.

The two studies to be cited in the present paragraph do not deal specifically with participative management, but the studies do strengthen the argument that specific leadership behaviors may be associated with organizational commitment. Morris and Sherman (1981), in attempting to develop a multivariate model of organizational commitment which is grounded in a previous theoretical framework, found leadership variables to be among several variables which made a unique contribution to the variation explained in commitment. The authors found results which may imply that a "high Initiating Structure/high Consideration" behavior on the part of leaders tends to be associated with high levels of commitment among subordinates within the sample of employees from facilities which provide care and training of developmentally disabled persons. Similarly, Brief, Aldag, and Wallden (1976) found, in a sample of members of a police force, organizational commitment to be related to leadership behavior; as in the Morris

and Sherman (1981) study, both Initiating Structure and Consideration were found to be positively related to organizational commitment [25].

It seems reasonable to say that, though results are mixed, there is a fair amount of evidence to support a managerial behavior-organizational commitment link. There is also some support for a managerial behavior-performance link. The fact that these links have at least some strength makes tenable the testing of McGregor's model.

The Relationship of Organizational Commitment to Absenteeism and/or Performance Outcomes

Organizational commitment and attendance were found to be positively related in five studies which were cited above in the section entitled "Absenteeism." That organizational commitment and job performance exhibit a weak link was discussed above in the section called "Employee Commitment to Organizations." Also, a study by Angle and Perry (1981) attempted to relate organizational commitment of lower-level employees to organizational effectiveness (effectiveness measures included absenteeism and operating-expense ratios) in organizations offering bus service. Neither absenteeism nor two operating-expense ratios showed a significant relationship with commitment. Though the variable of employee turnover was negatively and significantly related to commitment, the authors speculated on the lack of significant association between commitment and other indicators of organizational effectiveness:

...this study represents an attempt to find systematic relationships in a 'noisy system.' As is often the case with field research, there are a number of uncontrolled variables. In particular, such performance measures as operating-expense ratios are subject to many influences besides the motivation of lower-level employees. Management competence, structural and technological variables, and various contextual factors combine to place limits on any potential effort-performance relationship (Angle & Perry, 1981: 11).

The authors did not speculate further on the absenteeism finding.

That there is support--albeit of a modest amount--for an organizational commitment-absenteeism link is a fact which boded favorably for the present study. The weak relationship exhibited between organizational commitment and job performance is troublesome from the point of view of the McGregor model; the finding may be, as speculated by Angle and Perry (1981), one result of trying to find systematic relationships in noisy systems.

Summary of Chapter 2

The purpose of the chapter has been to describe and document the theoretical framework of the study. Literature, about how managers may pay homage to certain assumptions yet actually be guided by other assumptions, was reviewed and given credit for directing the researcher to the problem of determining if managerial assumptions are related to how managers behave and how organizations perform. McGregor's model of personal and organizational variables was selected to guide the present research, and the model was described. The scope of this study was delimited as the investigation of a serial linkage of variables:

Managerial assumptions-managerial behavior-organizational commitment of subordinates-absenteeism of those subordinates. The relevant variables (managerial assumptions, managerial behavior--especially participative managerial behavior, organizational commitment, and employee absenteeism) were defined, and the literature about each variable was reviewed. Relationships between variables were inspected, and it was found that evidence was mixed as far as offering support for the links between variables in the McGregor model. That each link had at least some support makes the testing of the model defensible. At the end of each section of this chapter appeared, where appropriate, the rationale for types of measures to be used and assumptions to be made in the present study.

NOTES, CHAPTER 2

1. An eight-item instrument, developed by Haire, Ghiselli, and Porter (1966: 186; the instrument will be referred to in this paper as the "Attitudes Toward Management Practices" instrument) and used in this part of their study, is designed to attempt to measure disagreement between the traditional/authoritarian and the democratic/participative approaches to management. The instrument indicates, through the use of raw score means, whether an individual tends to favor the authoritarian approach to management or tends to favor the the participative approach to management.

2. These findings may need to be tempered with caution: Haire, Ghiselli, and Porter (1966) offered no reliability calculations on the eight-item "Attitudes Toward Management Practices" instrument used in this part of their study. Logozzo (1985), in his use of the eight items as a single scale, found a Cronbach's alpha measure of internal consistency to be unreasonably low (less than .30). In retrospect, several of the items have a compound, confusing structure.

3. O'Toole (1985) was faithful to McGregor (1960, 1967) in that O'Toole treated Theory X and Theory Y as sets of assumptions rather than as strategies for behavior. The purpose of O'Toole's book is to demonstrate that effective management is not a Theory X, Y, or Z, or other singular approach to managerial behavior, but that management is a process of continuous responses to the ever-changing environment.

4. There have been numerous letter names applied, a la McGregor, to theories; these include:

- a. Theory M. Allen (1973) placed McGregor's Theory X and Theory Y at opposite ends of a continuum and called the middle ground between them Theory M.
- b. Theory Z. Colin (1971) considered Theory Z to be a management philosophy which would value having resources and principles geared to adapt to chronic change.
- c. Theory Z. Ouchi (1981) applied the name Theory Z to the now famous concept that United States companies could improve productivity by combining the American commitment to individualistic values with the Japanese pattern of group cooperation.
- d. Theory Z. Reddin and Sullivan (1973) added Theory Z to complement McGregor's Theory X and Theory Y. Theory Z states that "Man[/woman] is basically a rational being open to and

controlled by reason. He[/she] is inherently neither good nor evil but open to both and is driven by his[/her] intellect..." (p. 265).

5. See also McGregor (1957) for a discussion of this process where a worker and his/her superior together determine the major requirements of the job, set target goals for the worker, and appraise performance.

6. Other conditions for increasing organizational effectiveness can include the use of work teams and allowing work teams to be self-regulating (McGregor, 1967).

7. Logozzo (1986) reported that the writings of McGregor (1960, 1967), Likert (1961, 1967), Argyris (1957), and Herzberg (Herzberg et al., 1957; Herzberg et al., 1959; Herzberg, 1966) were remarkably similar. All four authors challenged traditional assumptions about people, posited assumptions which had in common an expanded view of the capabilities of workers, and discussed ramifications of replacing traditional assumptions.

8. The Reddin and Sullivan (1973) "XYZ Test" utilizes such general statements (e.g., "Man does not need to be governed by laws") that the statements may not reflect how a respondent relates to people in an organization.

9. Logozzo (1986) reviewed, in more detail than is probably helpful in the present paper, how other organizational processes (such as compensation and promotion) and the organizational structure of a Theory Y organization would be characterized according to McGregor.

10. Blake and Mouton (1985) distinguished (pp. 200-223) their work from that of Fleishman (1960, 1973) in a detailed critique of Fleishman's work. At first blush, Fleishman's "Initiating Structure" and "Consideration" appear similar to Blake and Mouton's concern for production and concern for people, respectively.

11. Qubein (1984) mirrored the very broad--as opposed to cookbook--approach of the McGregor writing when he wrote that a leader who accepts Theory X will use motivation based on fear and threat, supervise and control very closely, delegate as little as possible, and do all of the thinking and planning. A leader who accepts Theory Y will use positive incentives (of security, praise, rewards, and recognition), give people more freedom to exercise self-control, use the talents of others by delegating, and emphasize participation in planning and doing.

12. A quality circle is a group of employees who meet on a regular basis to identify and solve work-related problems. Quality of work life programs, though they can be quite varied, in some way empower employees to have influence in decisions related to their work. Autonomous work groups are work groups where members cooperatively complete relatively whole tasks. See Logozzo (1986) for details on these employee participation programs.

13. McGregor (1960, 1967) mentioned that participative strategies could be applied to decision making, goal setting, performance appraisal, compensation, and promotion procedures, among others. Likert (1967) wrote that participative management could be applied to decision making, goal setting, performance appraisal, compensation, motivation, communication and information flow, and training procedures, among others.

14. Another relationship McGregor emphasized was between line and staff groups, who supposedly should support each other in a helping, professional manner. A third relationship emphasized was between members of a group--cooperative members of a group can set and achieve goals larger than can individuals.

15. Another contextual approach is that of Lowin (1968).

16. Recent articles and studies which reflect interest in organizational commitment are by Bateman and Strasser (1984), DeCotiis and Jenkins (1986), Gorden (1985), Hunt, Chonko, and Wood (1985), Reichers (1985), and Zahra (1984a, 1984b).

17. There is even a monthly newsletter, entitled Commitment Plus, which focuses on employee commitment. Commitment Plus bills itself as "the newsletter for managers who want to improve productivity, quality, and service through people."

18. Mowday et al. (1982) summarized that the behavioral approach to organizational commitment focuses on how an individual's past behavior in some way binds him/her to the organization; much initial work on commitment was done by Becker (1964) who described commitment as a process where employees make "side bets" with the organization--i.e., previously extraneous actions and rewards are linked to the job in a way that the individual loses some freedom of choice. For example, a large pension and/or gratifying social relationships may be now so attached to the present job that a person refuses to take a new job which would offer him/her a higher salary and better working conditions.

19. Mowday et al. (1982) gave a definition which is synonymous with the Cook and Wall (1980) definition: Mowday et al. (1982), in following Porter and Smith (1970), focused on the attitudinal approach to organizational commitment and defined organizational commitment as the relative strength of an individual's identification with, and involvement in, a particular organization. "Conceptually, [organizational commitment] can be characterized by at least three factors: (a) a strong belief in and acceptance of the organization's goals and values; (b) a willingness to exert considerable effort on behalf of the organization; and (c) a strong desire to maintain membership in the organization" (p. 27). The similarity in definitions indicates considerable agreement, at least among some authors, as to what the concept of organizational commitment represents.

20. Job satisfaction has long been a concept of interest, perhaps because it makes intuitive sense to many people that a satisfied worker is a productive worker. Evidence indicates, however, that there is no simple relationship between job satisfaction and job performance. See the Gray and Starke (1984) text for a brief overview of the possible complex relationship between satisfaction, motivation, and productivity.

21. In a like vein, Marcus and Smith (1985) criticized the Steers and Rhodes (1978) model as overemphasizing the individual employee and exaggerating the importance of job satisfaction. Marcus and Smith contended that study of absenteeism must also take into account social and economic (i.e., gains and costs to both individuals and the organization) processes that take place at work.

22. Brown and Ladawan (1979) apparently simply placed a subject into a Theory X or a Theory Y classification depending if the X or Y score of the Managerial Philosophies Scale was higher. As we shall see shortly in the Chapter 2 text of this paper, Hall and Donnell (1979) suggested looking at the total profile of Theory X and Theory Y scores together.

23. The use of managerial profiles which contain both Theory X and Theory Y scores, as well as being mentioned by Hall and Donnell (1979), was suggested by Teleometrics International (1986) in an article called "How to Interpret Your Scores on the Managerial Philosophies Scale" (Hall and Donnell are associated with Teleometrics International). It was decided by this researcher not to rely on joint Theory X/Theory Y profiles in the present study. The profiles would have to be carefully incorporated into a complex variable (the Teleometrics International article would likely be helpful in the chore of

incorporating the profiles into a variable, but even the article does not cover all profile possibilities). Also, such profiles, which would involve certain affinities for Theory X in combination with certain affinities for Theory Y, are well outside the theory posited by Douglas McGregor. Such profiles may be useful in future research, however.

24. The main aim of the Hall and Donnell (1979) study was to investigate the very personal issue of managerial achievement, in terms of career progress, in relation to theories and practices which are usually aimed at organization-level dynamics. The authors concluded that the teaching of various theorists (including Douglas McGregor) apply at the individual level. Very generally, results of the study indicated High Achievers are more concerned with higher-level needs (e.g., self-actualization needs)--for themselves and for their subordinates--than are Low and Average Achievers. High Achievers are seen by their subordinates to use participative practices more than Low or Average Achievers. Also, interpersonal competence, where a manager is open in giving and receiving information, appears to be directly related to managerial achievement.

25. Both the Morris and Sherman (1981) and Brief et al. (1976) papers discussed possible reasons why both Initiating Structure and Consideration would be positively related to organizational commitment. The papers seemed to basically imply that Consideration is part and parcel of helping professions and that Initiating Structure is necessary to give increased structure to complicated job roles; both factors thus apparently aid in engendering, or providing conditions for, the development of organizational commitment.

CHAPTER 3

METHOD

This chapter details the way in which the study was executed. Subjects, instruments, and procedures are described. Also, the statistical procedures to be used in the analysis of data are stipulated. To protect the confidentiality of participants' responses, the participating company and all subjects will remain anonymous in this report.

Subjects

Subjects consisted of 28 supervisors and 219 of their subordinates. The subjects were employees in four claim-paying field offices of the claim department of the employee benefits division of insurance Company X. The supervisors were "first-line" supervisors, i.e., the level of management immediately above rank and file workers. The subordinates were insurance claim processors.

The Company

Company X, headquartered in New England, is represented in its 1986 annual report as one of the world's leading providers of insurance and financial services. It is a corporation of over 45,000 employees, has assets of more than \$60 billion, and generated 1986 revenue exceeding \$20 billion and net income exceeding \$1 billion.

The Employee Benefits Division

The employee benefits division of Company X markets, in a rapidly changing and highly competitive environment, a full range of group insurance and group pension products and services to corporations, government units, and other associations. The division generated operating earnings [net income attributed to the division] of \$331 million in 1986. There are approximately 11,000 employees in the division.

The Claim Department

The claim department has approximately 6,000 employees, about 1,000 of whom are in the home office and 5,000 of whom are in field offices. The home office offers support and administration for field offices. The claim department includes 37 "claim-paying" offices which are located all over the U.S. mainland, in Hawaii (one office), and in Puerto Rico (one office). The primary activity in these offices is, as their designation indicates, paying insurance claims. The claim department also had, as of July, 1987, one experimental claim-paying office in the field. The experimental office was established to utilize autonomous work groups, or "teams" (see Logozzo [1986] for a review of the philosophy and structure of autonomous work groups). Two teams of 12 members each existed in July, with two more teams planned for later in 1987.

The Offices

The 4 claim-paying field offices which were involved in this study are located in four separate cities in the northeast part of the United States. In a summary comparison of the 4 offices, it may be said that the offices differ in the number of claim-processing employees and supervisors, that the offices follow the same general claim-processing procedures, and that though the broad expectation for good attendance is common to the 4 offices, benchmarks for problem absenteeism vary across the offices. Checking for voluntary absenteeism within the absenteeism category of "Illness" seems to be a sound procedure across all 4 offices. Let us now look in more detail at these similarities and differences:

The 4 offices differ in the number of claim processors and claim-processor supervisors. All claim processors in job grades 22-25, to be described later in this chapter, and all of their supervisors in each of the 4 offices were targeted by this research. Table 3.1 indicates the office sizes in the designated job grades at the time of data collection.

It would be difficult for an outside researcher to know every exact similarity and difference regarding operations and general atmosphere between the 4 offices. However, important similarities and differences between offices were garnered from discussions with a home office manager of the claim department of the employee

TABLE 3.1

Number of Claim Processors (in Grades 22-25)
and Claim-Processor Supervisors Targeted as Subjects

	Claim-processor supervisors:		Claim processors:	
	<u>Number</u>	<u>Percentage</u>	<u>Number</u>	<u>Percentage</u>
Office 1:	7	25.0	66	20.8
Office 2:	13	46.4	166	52.2
Office 3:	5	17.9	51	16.0
Office 4:	3	10.7	35	11.0
Total:	28	100.0	318	100.0

benefits division, from discussions with the personnel coordinators in each of the 4 field offices, and by examining corporate and field-office documents. Here is what was found:

Comparison Across the 4 Offices Regarding Claim Processing.

The 4 offices use the same job descriptions for claim processors and for the supervisors (the same job descriptions for these positions are used nationwide) and use the same general procedures for processing claims and assessing claim-processing productivity and quality.

Comparison Across the 4 Offices Regarding Attendance Policy.

Because absenteeism is a variable investigated in the present study, comparison of attendance policies across the 4 offices is detailed fully here:

In deference to the varying requirements between and within different departments, absolute attendance standards do not apply on a company-wide basis. The company establishes only guidelines, published in a "personnel policies and programs" manual and in an employee handbook, for dealing with all types of absenteeism due to illness, injury, disability, funerals, jury duty, and leaves of absence. Specific attendance policies are to be developed within individual work units, and thus, each of the 4 offices involved in this study has its own attendance policy.

In light of each of the 4 offices having its own attendance policy, what does comparison of the 4 offices reveal? The

similarities across the 4 offices are: 1) Employees of all the offices are imbued--through company and/or office documents--with the idea that good attendance is essential for meeting service requirements and for maintaining fair treatment of fellow employees; 2) in all of the 4 offices, absenteeism policies, which are used for determining a problematic level of absenteeism, consider only days taken for personal illness or immediate family illness when assessing an employee's attendance (Office 2 also considers 1-day leaves of absence when assessing attendance); and 3) in all 4 offices, voluntary absenteeism would likely be reflected as "illness," this according to discussions with a home-office manager and with the personnel coordinators in the 4 offices. The differences across the 4 offices are: 1) Benchmarks for unacceptable attendance vary between the 4 offices; for example, Office 1 uses a 12-month rolling period of assessment and counts a certain number of absent days as unacceptable, while Office 2 uses a 6-month rolling period of assessment and uses a formula which takes into account both the number of days absent and the number of absence occurrences [1]; also, variations in the use of flexible office hours and in the strictness of dealing with tardiness across the 4 offices may affect how employees behave in regard to attendance; 2) in all 4 offices, more stringent standards are applied to newer employees than are applied to more experienced employees; and 3) Office 1 specifies 1 paid day off for 6

consecutive months of perfect attendance, Office 2 specifies 1 paid day off for each consecutive year of perfect attendance up to a ceiling of 3 days off for 3 or more consecutive years, Office 3 specifies 1 paid day off for 3 consecutive months of perfect attendance, and Office 4 specifies 1 paid day off for 4 consecutive months of perfect attendance.

The Supervisors' Job Description

"Modular [work group] Supervisor" is the formal job title for supervisors. Subordinates for these supervisors can be any mix of: Customer relations representatives; claim processors; specialized claim processors (for life and disability claims); and assistants. This study focused on one type of subordinate job: Claim processing as performed in job grades 22-25. Therefore, to be included in this study, a "Modular Supervisor" had to have as subordinates a substantial number of claim processors in grades 22-25, though these targeted supervisors also may each have up to several subordinates who are other than claim processors in grades 22-25.

The primary functions of all Modular Supervisors, as spelled out in the official position description, include: Managing the achievement of module productivity and quality objectives, and approving and monitoring individual objectives required of subordinates; assisting employees with technical questions; being accountable for the development of modular personnel (appraising

performance, counseling on personnel policies, recommending salary changes); promoting positive policyholder relations through contact as needed; providing marketing support by participating in marketing activities of the company; assisting policyholders and other parties with claim information; managing the workload and workflow within the module; and assisting processors in achieving individual quality goals.

Supervisors are categorized into three classes (28, 29, 30) depending on the volume of output of their module as measured by weighted resolved claims (WRC; a measure of productivity). Generally, the higher the WRC of the module supervised, the higher the class level of the supervisor; the higher the class, the higher the pay. Also, since a higher class is associated with higher productivity, a higher class is likely associated with a greater number of subordinates. Because the researcher was not aware prior to data collection that supervisors were divided into class levels, information on class was not tracked in this study.

The Claim Processors' Job Description

In this study, the subordinates of the supervisors described above are involved in performing the same job task, i.e., processing insurance claims. The claim processors in Company X, though they are all involved with paying claims under group health and dental plans, are divided into four job levels--one entry level and three higher levels--which depend on a processor's progress

with the job. The four job levels, designated as grades 22, 23, 24, and 25, are included in this study. Other positions in the four offices include customer relations representatives and their supervisors, claim processors who specialize in disability claims, and clerks. Workers in these positions, who generally number many fewer than claim processors in grades 22-25, were not included in this research as the present study restricted itself to one task type. Job descriptions of position grades 22-25 are sketched out below:

Grade 22 ("Group Claim Processor"). This processor reviews claim forms and medical/dental bills to determine the nature of illness/injury and the coverage which is applicable; uses a cathode ray terminal to list expenses and authorize payments; documents files and checks for duplicate/unusual fees; communicates with customers, providers of service, or other insurance carriers; refers more complicated claims to the appropriate person; maintains expected accuracy and an average daily production of 72 Weighted Resolved Claims (WRC; a calculated productivity measure).

Grade 23 ("Senior Group Claim Processor"). This processor pays claims in accordance with functions described under grade 22; handles claims for accounts designated as sensitive as well as those having complex benefits; may temporarily assume customer relations functions, and may be required to assist in follow-up

training of other claim processors; maintains expected accuracy and an average daily production of 85 WRC.

Grade 24 ("Claim Examiner"). This processor performs the same functions as described under grade 23 above, and maintains expected accuracy and an average daily production of 110-140 WRC.

Grade 25 ("Senior Field Claim Examiner"). This processor performs the same functions as described under grades 23 and 24 above, and maintains expected accuracy and an average daily production of 125+ WRC.

The Subject Population and Subject Sample

Due to practical constraints, random sampling was not used in selecting the company, the offices, the supervisors, or the subordinates (see the "Procedure" section of this chapter for a description of the procedure involved in sample selection for this study). The sample of subjects is most accurately represented by the term "convenience sample" since the accessibility and availability of certain people influenced their inclusion in the study.

Once the contact person for Company X pledged her cooperation, the selection of subjects was determined by targeting a number of supervisors who supervised subordinates involved in the same job task. In targeting these supervisors, there was a concurrent nonrandom sampling within Company X of offices and subordinates.

Let us look at the population and sample of offices, of supervisors, and of subordinates.

The Population and Sample of Offices. The population of offices consisted of 37 claim-paying field offices which are located throughout the U.S. mainland and in Hawaii (one office) and Puerto Rico (one office), plus the experimental office that uses autonomous work groups. The sample of offices consisted of 4 claim-paying field offices which are located in four separate cities in the northeast part of the U.S.

It is apparent that, geographically, the sample of offices was from one quadrant of the U.S. When asked how representative these four offices were of all the offices, a manager of the claim department responded that all 4 offices demonstrated, to varying degrees, the solid results (productivity and quality) which the company expects; the 4 offices were not representative, however, of the few offices which were carrying "marginal" (i.e., nearly unsatisfactory) results at the time of the study.

The Population and Sample of Supervisors. The population of supervisors consisted of 227 full-time supervisors of claim processors [2] throughout the 37 claim-paying field offices. From the 227 supervisors, 28 were selected. All 28 supervisors responded to questionnaires and constituted the final sample. "In your opinion, is the sample of supervisors in this study fairly representative of the population of supervisors in terms of age,

sex, education, and tenure?" was the question asked of a manager of the claim department; "yes," was her response.

The Population and Sample of Claim Processors. The population of claim processors consisted of 2,740 processors [3] throughout the 37 claim-paying field offices. The targeted sample of claim processors was the 318 claim processors who were subordinates of the sample of supervisors. Usable responses were obtained from 222 of these processors. "In your opinion, is the sample of claim processors in this study fairly representative of the population of claim processors in terms of age, sex, education, and tenure?" was the question again asked of a manager of the claim department; "yes," was again her response.

Response Rates for the Subjects

Completed responses were obtained for 28 (100%) of the supervisors. From the 318 claim processors, 6 unusable responses [4] and 222 (69.8%) usable responses were received.

The overall response rate of claim processors will now be broken down so that we may see the response rate within each office and within each supervisor's group. Response rates are based on the number of usable responses that were returned.

Claim Processor Response Rates within the Offices. Response rates for claim processors within each of the 4 offices are, in ascending order of magnitude, 62%, 66%, 73%, and 73% (response

rates are not identified by office here as no results will be presented in a way in which they can be matched to identifiable work units).

Response Rates for Each Supervisor's Group of Claim Processors. Supervisors' groups of claim processors varied in size from a minimum of 5 to a maximum of 19 with a mean of 11.36. The number of claim processors per supervisor who responded to the subordinate questionnaire ranged from a minimum of 4 to a maximum of 16 with a mean of 7.93. Subordinate response rate per supervisor ranged from 44% to 91%; the average response rate per supervisor was 69.9%. Appendix J details response rates per supervisor.

For claim processors, data was analyzed and reported on 219 of the 222 usable responses. It was decided not to include data from the 3 claim processors who had been with their present supervisor for only 1 month. The first month, likely a period of adjustment, is probably not representative of supervisors' and subordinates behaviors and interactions.

Profile of the Sample of Supervisors

The sex, age, education, and tenure characteristics reported by the 28 supervisors are presented in Table 3.2.

Profile of the Sample of Claim Processors

The sex, age, education, and tenure characteristics reported by the 219 claim processors are presented in Table 3.3.

TABLE 3.2

Sex, Age, Education, and Tenure Reported by the 28 Supervisors

	Number of supervisors reporting the <u>characteristic</u>	Percentage of supervisors reporting the <u>characteristic</u>
Sex:		
Male:	6	21.4
Female:	22	78.6
Total:	28	100.0
Age:		
16-19 years:		
20-24 years:		
25-29 years:	4	14.3
30-34 years:	10	35.7
35-39 years:	9	32.1
40-44 years:	4	14.3
45-49 years:		
50-54 years:	1	3.6
55-59 years:		
60-64 years:		
65-69 years:		
70+ years:		
Total:	28	100.0
Level of education:		
High school or less:	6	21.4
Some college:	11	39.3
College graduate:	11	39.3
Post-graduate degree:		
Total:	28	100.0

Tenure in years with the company: Tenure for the 28 supervisors ranged from a minimum of 5 years to a maximum of 21 years with a mean of 11.36 years.

TABLE 3.3

Sex, Age, Education, and Tenure
Reported by the 219 Claim Processors

	Number of claim processors reporting the <u>characteristic</u>	Percentage of claim processors reporting the <u>characteristic</u>
Sex:		
Male:	28	12.8
Female:	189	86.3
Did not identify gender:	2	.9
Total:	219	100.0
Age:		
16-19 years:	1	.5
20-24 years:	42	19.2
25-29 years:	78	35.6
30-34 years:	55	25.1
35-39 years:	26	11.9
40-44 years:	9	4.1
45-49 years:	6	2.7
50-54 years:	1	.5
55-59 years:	1	.5
60-64 years:		
65-69 years:		
70+ years:		
Total:	219	100.0
Level of education:		
High school or less:	69	31.5
Some college:	92	42.0
College graduate:	54	24.7
Post-graduate degree:	4	1.8
Total:	219	100.0

Tenure in years with the company: Tenure for the 219 claim processors ranged from a minimum of 1 year to a maximum of 11 years with a mean of 4.68 years. Tenure was coded in such a way that a "1" meant the processor was in the first year of tenure, i.e., between 1 and 12 months with the company.

Instruments

Measuring Theory X and Theory Y Assumptions of Managers

Theory X and Theory Y assumptions of each manager were measured with the Managerial Philosophies Scale (MPS; Jacoby & Terborg, 1986 [5]). In keeping with McGregor's assertion that Theory X and Theory Y represent cosmologies which are independent of one another, the MPS allows the generation of both a Theory X score and a Theory Y score for each respondent.

The MPS is copyrighted, and thus cannot be presented in full in this dissertation. In accordance with a limited presentation required by the publisher of the MPS, a copy of both sides of the front cover of the MPS, along with two sample items from the scale, appear as Appendix A. The MPS is described in Jacoby and Terborg (1975): The MPS consists of 24 statements which represent Theory X and 12 statements which represent Theory Y (the authors did not stipulate why they used more statements related to Theory X than statements related to Theory Y). To minimize effects of response style, Theory X and Theory Y statements are presented as one 36-item questionnaire using a pattern of two X statements followed by one Y statement. Thus, items 1 and 2 relate to Theory X and item 3 relates to Theory Y, items 4 and 5 relate to Theory X and item 6 relates to Theory Y, etc. A Thurstonian response format is used, with response categories ranging from +3 ("I agree very much") to +2 ("I agree on the whole") to +1 ("I agree a little") to ?

("Uncertain") to -1 ("I disagree a little") to -2 ("I disagree on the whole") to -3 ("I disagree very much"). To avoid negative numbers, the response scale becomes 7, 6, 5, 4, 3, 2, 1 for the scorer, with "7" corresponding to "+3" and "1" corresponding to "-3". The scorer simply sums responses on all Theory X items (using the 7, 6, 5, 4, 3, 2, 1 response scale, now) to get a Theory X score and similarly sums responses on all the Theory Y items to get a Theory Y score. Since twice as many items are getting added into the Theory X score as are getting added into the Theory Y score, the Theory X and Theory Y raw scores may likely display different ranges. The higher a Theory X score is, the higher is the respondent's affinity for Theory X assumptions. The higher a Theory Y score is, the higher is the affinity for Theory Y assumptions.

Development of the MPS is detailed in Jacoby and Terborg (1975), and normative data is presented there as well. The developmental sample consisted of 161 supervisors and 275 non-supervisors drawn from government and private industry in the Washington, D. C., area. The X scale raw score mean was 78.05 (s.d. 20.87) for supervisors and 80.93 (s.d. 19.53) for non-supervisors. The Y scale raw score mean was 63.51 (s.d. 9.54) for supervisors and 63.75 (s.d. 8.92) for non-supervisors. Since the two groups did not differ significantly, the data were combined [N=436] for subsequent analyses. Internal consistency, calculated

as split-half (odd-even) reliability corrected for scale length, was $r=.85$ for the X scale and $r=.77$ for the Y scale. Test-retest reliability (across 3 months) was calculated at $r=.68$ for the X scale and $r=.59$ for the Y scale ($N=97$ for both correlations). Though McGregor asserted that Theory X and Theory Y views are not opposite poles on the same continuum, but rather represent independent cosmologies, the correlation of the X and Y scales indicated a strong negative ($r=-.55$) relationship. Construct validation was approached by attempting to demonstrate that the X scale and Y scale would be related to certain other variables (dogmatism, leadership style, number of subordinates, age, and creativity) in accordance with predictions derived from McGregor's theory. As predicted, X scale scores were found to be positively correlated with dogmatism and negatively correlated with age, and Y scale scores were related to age (older respondents tended to have higher Y scale scores than younger respondents). Other predictions involved in the validation procedure were not supported.

Measuring Managers' Participative Behavior as Perceived by Subordinates

Managers' participative behavior as perceived by subordinates was measured using the participative decision making (PDM) scale of Sutton and Rousseau (1979) which assesses the collaboration by superiors and subordinates in decision making. The use of the scale in the present study was to assess managers' behavior;

subordinates assessed that behavior for us. The instrument has four items measured on a response range of 1 to 4.

The instrument was adjusted for use in the present study (the study in which the instrument originally appeared is unrelated in purpose to the present study): The items were reworded to have a respondent focus only on his/her relationship with his/her supervisor rather than focusing on superior/subordinate relationships in the organization at large. For example, the item "In this organization, when a superior is trying to make a decision about a new idea, how likely is he/she to ask a subordinate for advice?" became "When your supervisor is trying to make a decision about a new idea, how likely is he/she to ask you for advice?" Response categories were not specified in the Sutton and Rousseau (1979) paper (the authors indicated only that they used a 4-point scale), so appropriate response phrases were devised (see Appendix C for the PDM instrument as it appears in this study). Scoring is the sum of responses to the four items in the instrument. A higher score represents higher participative behavior on the part of the manager as perceived by subordinates. A score on this instrument was generated for each subordinate in the study.

An internal consistency reliability of .78 (Cronbach's alpha) was reported by Sutton and Rousseau (1979) in their use of the instrument with subjects who were managers.

Measuring Organizational Commitment on the Part of Subordinates

Organizational commitment on the part of subordinates was measured using the organizational commitment scale of Cook and Wall (1980). In drawing heavily on distinctions given by Buchanan (1974), Cook and Wall offered three components of organizational commitment: 1) Identification--pride in the organization; internalization of the organization's goals and values; 2) Involvement--willingness to invest personal effort, as a member of the organization, for the sake of the organization; and 3) Loyalty--affection for, and attachment to, the organization; a sense of belonging demonstrated as a "wish to stay." The Cook and Wall (1980) instrument will now be described in general terms, and then the particular use of subscales which occurred in this study will be discussed.

The instrument has nine items with three items devoted to each of the three components listed above. Items 1, 5, and 8 cover Identification, items 3, 6, and 9 cover Involvement, and items 2, 4, and 7 cover Loyalty. The instrument thus allows for an overall Commitment score and also for three subscale scores which correspond with the three components of commitment. The response range is from 1 to 7, and scoring is the sum of responses to all items in the total scale (or in a subscale); higher scores represent higher Commitment (or higher amounts of the subscale components of Identification, Involvement, or Loyalty). Items 2,

3, and 8 (one item from each subscale) are reverse-scored.

Development of the instrument is detailed in Cook and Wall (1980) and summarized in Cook et al. (1981).

As discussed in the section on organizational commitment in Chapter 2 of this paper, the emphasis in the present study is on the components labeled Identification and Involvement because these two components emphasize the commitment to support organizational objectives. Loyalty, or commitment to stay with the organization, is not of immediate concern here. Therefore, the organizational commitment score used here was derived from totaling the responses to the six items in the Identification and Involvement subscales. That is, responses on items 1, 5, 8, 3, 6, and 9 were totaled to get an organizational commitment (OC) score for each subordinate in this study. Higher scores represent higher organizational commitment. Data on the Loyalty subscale items were collected for future use. Some wording on the instrument was modified for use here: The introduction and instructions were modified to ensure clarity and to make the instrument conducive to written responses (the original directions were for verbal administration). The items were reworded to use the single phrase "this company" in place of the possibly confusing array of phrases such as "this employment", "the organization", and "our staff". Also, the response categories were streamlined; for example, "No, I strongly disagree" and "No, I disagree quite a lot" have become "I disagree

strongly" and "I disagree moderately", respectively. The organizational commitment instrument appears in Appendix C.

A summary of normative data is provided by Cook et al. (1981):

The instrument was developed through application of a larger item pool to two samples (N=390 and 260), with the least effective items being removed after the first investigation. Respondents were male, full-time employees in British manufacturing industry...Mean Organizational Commitment scores from the two samples were 44.64 (s.d. 11.45) and 45.37 (s.d. 9.55) with coefficients alpha of 0.87 and 0.80 respectively. A test-retest correlation across six months of 0.50 (N=63) was also observed. Correlations between the three subscales were 0.54, 0.57, and 0.43...Coefficients alpha from the two studies were 0.74 and 0.71, 0.87 and 0.71, and 0.82 and 0.60 for Identification, Involvement and Loyalty respectively. Test-retest correlations across six months (N=63) were 0.60, 0.53 and 0.35 for the three sub-scales in that sequence...Mean values in the two studies for Identification were 15.04 (s.d. 4.38) and 15.77 (s.d. 4.00), for Involvement 16.99 (s.d. 3.11) and 16.58 (s.d. 3.08), and for Loyalty 12.63 (s.d. 5.51) and 12.99 (s.d. 4.47) (p. 92).

Also, correlational data indicated the organizational commitment scale and subscales relate to measures of other constructs in sensible ways (Cook & Wall, 1980). "The internal homogeneity data together with cross-validational and test-retest data substantiate the claim [that the organizational commitment instrument is] psychometrically adequate, stable and reliable" (Cook & Wall, 1980: 45).

An Additional Measure

Measuring Absenteeism of Subordinates

Absenteeism of subordinates was measured by "frequency" absenteeism. Frequency absenteeism is the total number of inceptions of absence occurrences per year, regardless of the

duration of each occurrence (see Price & Mueller, 1986). As was discussed in the section on absenteeism in Chapter 2 of this paper, frequency absenteeism is apparently sensitive to voluntary absenteeism. The time interval for measuring absenteeism in this study was the one year previous to the point when subordinates were administered the questionnaire for this study.

This study specifically addressed the relationship between a subordinate and his/her present supervisor. To address the problem of a subordinate being with his/her supervisor for less than 1 year, an adjustment scheme of Price and Mueller (1986) was used: The number of months a person has been employed with his/her present supervisor was divided into the number of absences accrued while with the present supervisor. This gave a measure of the average number of absences per month, and multiplying this number by 12 gave the number of absences in a year.

Review of How to Score the Instruments

This section is included so that the reader can review at any time the scoring of instruments without having to reread all of the information on the instruments.

The Managerial Philosophies Scale (MPS) measures the Theory X (THX) and Theory Y (THY) assumptions of managers. The MPS generates both a THX and a THY score for each respondent; supervisors were the respondents in the present study. The MPS is patterned with two Theory X statements followed by one Theory Y

statement. The response format for scoring purposes is 7, 6, 5, 4, 3, 2, 1. The scorer sums responses on all Theory X items to get a Theory X raw score and similarly sums responses on all Theory Y items to get a Theory Y raw score. The higher a Theory X score is, the higher is the respondent's affinity for Theory X assumptions; the higher a Theory Y score is, the higher is the affinity for Theory Y assumptions. Since twice as many items are getting added into the Theory X score as are getting added into the Theory Y score, Theory X and Theory Y raw scores may display different ranges.

Managers' participative behavior as perceived by subordinates was measured using the participative decision making (PDM) scale which assesses the collaboration by superiors and subordinates in decision making. The response format is 1 to 4. Summing the responses to the four items in the instrument yields a raw score for the instrument. A higher score represents higher participative behavior on the part of the manager as perceived by subordinates. A score on this instrument was generated by each subordinate in the study.

The organizational commitment (OC) score used here was derived from totaling the responses to the six items (items 1, 5, 8, 3, 6, and 9) in the Identification and Involvement subscales. The response format is 1, 2, 3, 4, 5, 6, 7. Items 3 and 8 are reverse-

scored. Higher scores represent higher organizational commitment. An OC score was generated by each subordinate.

Absenteeism (ABS) data was obtained not from a questionnaire instrument but from personnel records. The absenteeism of each subordinate in the study was measured by the frequency (total number) of inceptions of absence occurrences for the one year previous to the point when the subordinates were administered the questionnaire.

Procedure

The data collection occurred in July, 1987. First-line supervisors (managers) were administered the questionnaire for supervisors which included the Managerial Philosophies Scale (MPS). Subordinates of the supervisors were administered the questionnaire for subordinates. The questionnaires for subordinates contained both the Participative Decision Making (PDM) scale and the Organizational Commitment (OC) scale. The absenteeism measure was obtained, by the use of company personnel records, for each subordinate who was included in the study.

More specifically, the procedure took the following course:

In late May, 1987, the researcher met with the director of field administration for the claim department concerning an internship position which was unrelated to this study [6]. During the meeting, the director learned of the researcher's desire to conduct a field study. By this point in time, the present study

had been fully planned, and the research proposal had been approved by the dissertation committee. The director pledged to assist in any way possible. The director was given a 3-page prospectus of this study (see Appendix D for a copy of the prospectus). The prospectus included a section stating what would be required from a cooperating organization. The director agreed to meet again with the researcher on June 10, 1987.

On June 10, the director said she was interested in the research as it was presented in the prospectus. She was provided with copies of the supervisor and subordinate questionnaires, which she read and approved. The researcher asked for access to approximately 30 supervisors and their subordinates [7]; the subordinates were all to perform the same type of work. The director did some calculating, saying she was trying to select approximately 30 supervisors and at the same time consider work demands. The director indicated that field offices were now extremely busy, and she was trying to be sensitive to which offices could best tolerate the presence of the research. The sample of subjects, then, was selected as a sample of convenience (where the accessibility and availability of certain people influence their selection as subjects) by targeting a total requisite number of supervisors who worked in offices that could best deal with more to do. Attempting to use random sampling from the populations of

offices and supervisors would have imposed hardships on the director, whose time was precious [8].

During the meeting on June 10, the director and researcher worked out the exact content of a cover letter from the director to subjects, using a draft of a cover letter written by the researcher (see the supervisor and subordinate questionnaires in Appendixes B and C for copies of the final draft of the cover letter from the director to subjects [9]). Also during this meeting, the researcher requested that the director keep the intent of the study confidential from subjects as any discussion of the project could have influenced how people responded to the questionnaires (the director at this point had a full understanding of the study as she had seen the questionnaires and research proposal). Due to demands on the time of the director, this meeting was continued on June 26.

On June 26, the director identified 4 field offices which would be made available for the research. She provided the researcher with the name and address of the office manager in each of those offices. The director and researcher together outlined the steps to be taken to complete the research. Those steps were fulfilled as follows:

The researcher contacted each office manager with a letter, written on company stationery and dated July 1, 1987, which was approved and signed by the director (see Appendix E for a copy of this letter [10]). Once these letters were answered (within about

a week), the researcher had a designated contact person for each of the 4 offices (as suggested, the personnel coordinator of each office was designated as the contact person) and had a list of all supervisors and corresponding subordinates for each office. It should be mentioned here that these letters to the office managers referred to indexes called Weighted Resolved Claims, Statistical Accuracy, and Payment Incidents Accuracy. These indexes, which involved productivity and quality, were collected at the request of the director of the claim department. The full description and analysis of these indexes is beyond the scope of this paper, but brief descriptions and a partial analysis can be found in Appendix N.

The researcher called each personnel coordinator to introduce himself and to verify that listed supervisors and subordinates were in targeted positions. At this point, names of persons who fell outside of the targeted positions were removed from the lists.

Five-digit codes were assigned to each subject and were treated as confidential by the researcher. The appropriate code was placed on each subject's questionnaire in the location designated "Questionnaire code number." Code numbers were used so that subjects' names would never have to appear on questionnaires, and confidentiality of responses could thus be assured. Code numbers were also necessary to correctly match each subordinate's questionnaire responses with his/her absenteeism index.

All questionnaires for supervisors and for subordinates were prepared: A preaddressed and prestamped return envelope was attached to each questionnaire. Each questionnaire was put into an envelope, the envelope was sealed, and the envelope was addressed with the recipient's name. Two versions of the subordinate questionnaire were alternated as the envelopes were filled. The two versions were identical except that one version had the PDM scale followed by the OC scale and the other version had the OC scale followed by the PDM scale; this use of two versions allowed for the testing of an effect due to scale order. All questionnaires going to the same office were boxed together along with a letter of instruction to the personnel coordinator (a copy of this letter to the personnel coordinators appears as Appendix F; office managers were copied in on this letter). The boxes were mailed on July 20, 1987, using an overnight service. The researcher contacted each personnel coordinator by phone on July 22 to make certain that there were no problems with distributing the questionnaires. No significant problems were reported. Approximately half of the questionnaires were returned within one week of the mailing date, and the remainder came over a period of several weeks. The responses came in the preaddressed and prestamped return envelopes to the researcher's home under the designation "To Research Project 7K [arbitrary project title], c/o (researcher's name and address)."

On August 3, the researcher met with a manager of the claim department and with one of her assistants. The manager and her assistant provided the researcher with information about company and field-office personnel policies. Information gathered this day allowed the researcher to decide how to best obtain the desired absenteeism information on each subordinate. The manager of the claim department indicated that voluntary absences were likely to appear under the "Illness" section of an employee's attendance card (this statement on the part of the manager was corroborated by the personnel coordinators in the 4 participating offices).

On August 17, follow-up questionnaire packets identical to the original questionnaire packets were sent, via appropriate personnel coordinators, to 4 supervisors from whom no initial response had been received; a brief note [11], included inside the mailing envelope, entreated the recipient to respond to the questionnaire. All 4 supervisors responded to the second request within about 2 weeks.

On August 17, a cover letter and a form with instructions for providing absenteeism data were sent to each personnel coordinator (see Appendix G for this cover letter and data-gathering form). Of interest in this study is the absenteeism of a subordinate during the time the subordinate has been supervised by his or her present supervisor. If a subordinate had been with his/her present supervisor for 1 year or longer (as reported by the subordinate on

his/her returned questionnaire), then absenteeism was checked for that subordinate for the 1-year period prior to 7/15/87. If a subordinate had reported being with his/her immediate supervisor for less than 1 year, then absenteeism was checked for the number of months (prior to 7/15/87) that the subordinate reported being with the present supervisor. For example, if a subordinate reported on his/her returned questionnaire that he/she had been with his/her present supervisor for 10 months, absenteeism was checked for the 10-month period of time prior to 7/15/87. The end date of 7/15/87 brought the window on absenteeism right up to the time--about 7/21-22/87--when subordinates received their questionnaires. The relevant time frame (e.g., 7/15/86 to 7/15/87) was all spelled out by the researcher for each subordinate's name. A follow-up phone call was made to each personnel coordinator to see if all instructions were clear. The personnel coordinators reported that neither they nor any assistants had problems with the instructions or with the data collection on absenteeism. Absenteeism data was all received by the researcher within about two weeks of requesting it.

On September 29, 1987, thank-you letters were mailed to office managers and personnel coordinators of the 4 participating offices (the letter to managers appears as Appendix H, the letter to personnel coordinators appears as Appendix I). Copies of these letters were mailed to the director. Also, the researcher called

the director to thank her for her assistance and to reaffirm that findings of the completed study would be shared with her.

A summary report describing the nature of the study and its findings appears in Appendix O. Upon approval of the report by the director of the claim department, a copy of the report will be sent to each subject of the study who received a questionnaire. Office managers and personnel coordinators in the four participating offices will also be provided with copies of the report.

Statistical Analysis

This section of the chapter details the way in which the statistical analysis of the research data was done. Actual results from the statistical analysis appear as Chapter 4, the RESULTS chapter.

This study may be considered, in terms found in Kerlinger (1973), to be a field study of an ex post facto nature [12]. Data analysis was performed with the computer statistical package SPSS X (Statistical Package for the Social Sciences, Version X; see SPSS X User's Guide, 1986). For all statistical testing, α was set a priori at .05.

Certain abbreviations used up to this point in the paper now take on cardinal value as they will be used frequently in a statistical context to refer to specific variables. The mnemonic abbreviations for variables appear here:

Regarding supervisors:

THX: ("Theory X") : Refers to subscription to Theory X as measured by the Managerial Philosophies Scale (Jacoby & Terborg, 1986) total score for Theory X.

THY: ("Theory Y") : Refers to subscription to Theory Y as measured by the Managerial Philosophies Scale (Jacoby & Terborg, 1986) total score for Theory Y.

Regarding subordinates:

PDM: ("Participative Decision Making") : Refers to amount of participative behavior on the part of supervisors--as perceived by the subordinates of those supervisors--as measured by the total score on the participative decision making instrument of Sutton and Rousseau (1979) .

OC: ("Organizational Commitment") : Refers to commitment to the organization by subordinates of the supervisors, as measured by the total score on the six items which make up the Identification and Involvement subscales of the Cook and Wall (1980) organizational commitment instrument.

ABS: ("ABsenteeism") : Refers to absenteeism by subordinates of the supervisors, as measured by "frequency" absenteeism (the total number of inceptions of absence

occurrences per year, regardless of the duration of each absence occurrence).

Additionally, regarding supervisors and subordinates:

PDMAPS: ("PDM Average Per Supervisor") : Refers to PDM raw scores for subordinates which have been converted to an average-per-supervisor basis. The total of raw PDM scores for all of a given supervisor's subordinates was calculated and then divided by the number of subordinates in that supervisor's group.

OCAPS: ("OC Average Per Supervisor") : Refers to OC raw scores for subordinates which have been converted to an average-per-supervisor basis (computation was comparable to PDMAPS, above).

ABSAPS: ("ABS Average Per Supervisor") : Refers to ABS scores for subordinates which have been converted to an average-per-supervisor basis (computation was comparable to PDMAPS and OCAPS, above).

Internal consistency of the supervisors' and subordinates' instruments was assessed by calculation of coefficient alpha (Cronbach, 1951) for the THX, THY, PDM, and OC scales.

Descriptive statistics were calculated and appear where appropriate in the RESULTS chapter. Descriptive statistics include those calculated on supervisors' raw scores for Theory X and Theory Y and on subordinates' raw scores for participative decision making

(PDM), organizational commitment (OC), and absenteeism (ABS).

Since it was important in this study to determine for each supervisor how that supervisor's particular subordinates fared regarding PDM, OC, and ABS, the variables PDM, OC, and ABS were converted to an average-per-supervisor (APS) basis. Values for PDMAPS, OCAPS, and ABSAPS are presented in full.

Before proceeding with the data analysis, it was necessary to test for possible response differences due to the order of the PDM and OC scales in the subordinate questionnaire. If mean response differences on the PDM and OC variables differed materially between the 2 versions of the questionnaire (the 2 versions were identical except for the order of presentation of the PDM and OC scales), then subsequent analyses would have had to be done within each group which shared the same scale order. However, if the mean response differences between the 2 groups turned out to be not statistically significant, then all subordinate responses could safely be pooled.

The theoretical model as it was specifically tested in this study appears in Figure 3.1. Pearson product-moment correlations between the model's variables THX, THY, PDMAPS, OCAPS, and ABSAPS were calculated.

Though the model in Figure 3.1 is a causal model, the use of path analysis (Pedhazur, 1982) or LISREL (Jöreskog & Sörbom, 1986) to assess causal effects would have required many more supervisory

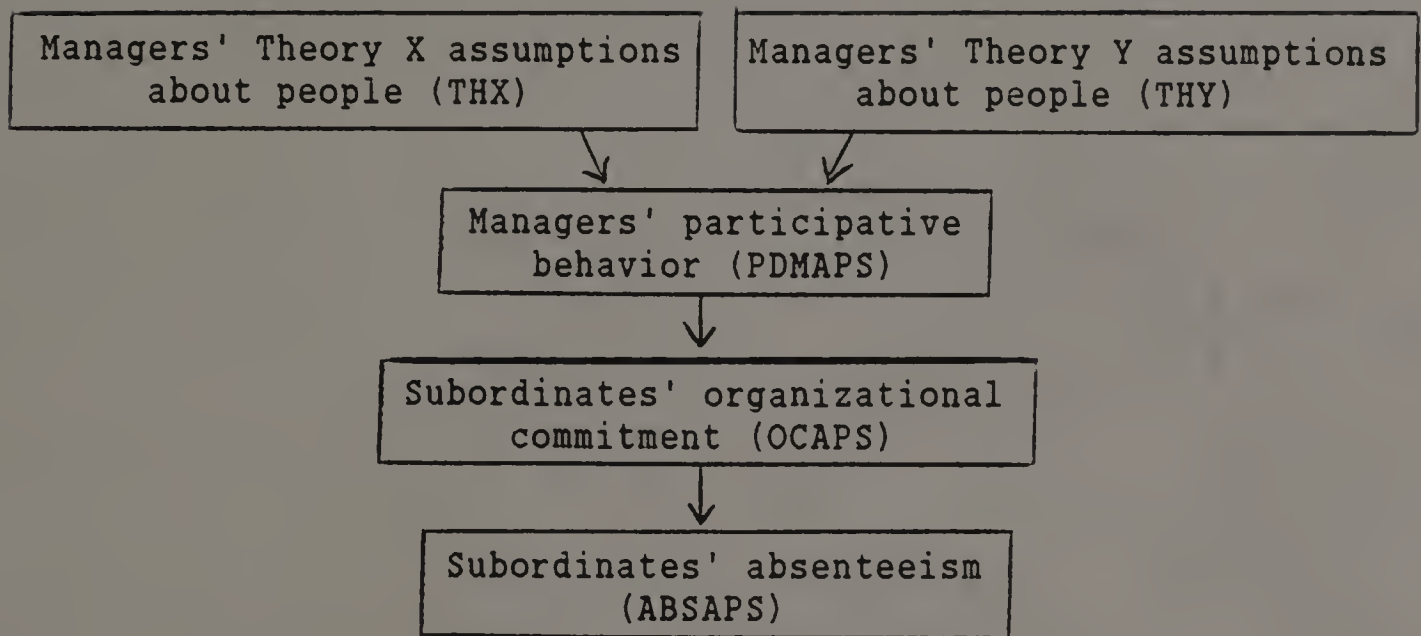


Figure 3.1. The model of variables as tested in this study.

subjects (and subordinates) than were available here [13]. Causal inference and partitioning of variance was possible, however, by the use of a regression technique called "hierarchical analysis" (see Cohen & Cohen, 1983). In hierarchical analysis, a dependent variable is regressed on independent variables which are entered into the regression equation in accordance with their causal order:

Following Figure 3.1, ABSAPS was designated as a dependent variable and regressed in an equation where THX and THY were simultaneously entered, then PDMAPS was entered, then OCAPS was entered. Then, OCAPS was designated as a dependent variable and regressed in an equation where THX and THY were simultaneously entered, then PDMAPS was entered. PDMAPS was next designated as the dependent variable and regressed on THX and THY entered simultaneously.

Regressions were also run where THX and THY were entered separately rather than simultaneously [14]. Again, in each equation, the independent variables were entered one at a time in the order shown:

- ABSAPS was regressed on THX, PDMAPS, OCAPS;
- ABSAPS was regressed on THY, PDMAPS, OCAPS;
- OCAPS was regressed on THX, PDMAPS;
- OCAPS was regressed on THY, PDMAPS;
- PDMAPS was regressed on THX;
- PDMAPS was regressed on THY.

NOTES, CHAPTER 3

1. The benchmarks for problem absenteeism in each of the 4 offices are as follows (per each office's written attendance policy):

- a. Office 1: During a 12-month rolling period, 0-1 days absent is considered a "strength" record, 2-4 days absent is considered "satisfactory," and more than 4 days absent is considered "unsatisfactory" (and a written warning is issued).
- b. Office 2: During the first 6 months of employment, any occurrence of absenteeism will be addressed; then, "We will use a days/times factor which takes into account both the number of days and the number of occasions on which you are out. A total factor of six in six months may be considered excessive."
- c. Office 3: Absenteeism is viewed for each 6-month rolling period. For new employees with less than 1 year of service, 3 unplanned absences will bring a written warning, and any subsequent unplanned absence during this period will result in probation; 1 unplanned absence during probation may result in termination. For employees with more than 1 year of service, 4 unplanned absences bring a warning, any subsequent unplanned absence during the period results in probation, and 1 unplanned absence during probation may result in termination. For employees with more than 4 years of service, each case will be given individual consideration based on length of service, past attendance, and severity of illness.
- d. Office 4: For any 6-month rolling period, an employee with fewer than 6 months of service will receive a written warning for 2 days of absenteeism and probation for 3 days of absenteeism. Experienced employees (6 months or longer of service) receive a written warning for 5 days of absenteeism and receive probation for 6 days of absenteeism.

The managements of all of the 4 offices reserve the right to use discretion in applying the attendance policies.

2. It is possible that several of these supervisors manage only a type of claim processor (e.g., disability claim processors) which were not targeted for inclusion in this study; the population of supervisors thus may be slightly fewer than 227.

3. It is possible that this number of claim processors includes a very small percentage of claim processors who fall outside of the type of processor targeted for this study (for example, disability claim processors were not targeted for inclusion in this study); the population of claim processors in grades 22-25 may thus be slightly fewer than 2,740.

4. 2 questionnaires were unusable due to their being returned with the code sheets missing. 4 questionnaires were unusable due to each having missing data on one item of either the participative decision making (PDM) scale or the organizational commitment (OC) scale; inaccuracies in the scale scores would likely result from summing without the missing item or from summing with an estimated value in place of the missing value.

5. The Managerial Philosophies Scale (MPS) 1980 version was revised into the MPS 1986 version by removal of male-oriented language (male pronouns) and by other slight changes in wording. Teleometrics International still maintains the same supporting documentation--thus, documentation for the 1986 version of the MPS is Jacoby and Terborg (1975). Some information from this Jacoby and Terborg (1975) pamphlet now appears appended to the 1986 version of the MPS.

6. A representative of Company X had contacted this researcher's academic advisor in search of potential summer interns for a specific project.

7. This study was designed to collect data from approximately 30 supervisors and from 7 to 20 subordinates per supervisor. The requisite number of supervisors and subordinates have been adopted by bearing in mind statistical power (the probability that a statistical test will correctly reject a null hypothesis) and practical constraints (e.g., not overimposing on the organization which is being studied).

8. The researcher had to make judgments throughout the research project as to what constituted a fair request on the resources of the cooperating organization. Judging by the no-nonsense demeanor of everyone encountered at Company X, and judging by comments about the present heavy workload throughout the claim department, the researcher tried to keep all of his requests reasonable. For example, follow-up (second request) questionnaires were sent to 4 supervisors, but follow-up questionnaires were not sent to the 90 subordinates who did not respond to the first questionnaire.

9. For confidentiality, letterheads and the company name and individuals' names have been blocked out of any letters which appear in the appendixes. Also, any letters sent to the office managers or personnel coordinators contained the researcher's address and telephone number so that the office managers and personnel coordinators could reach the researcher at any time.

10. The letter indicates that certain groups had been "randomly selected to represent the company in the study." Though the groups were not strictly randomly selected, this wording was used to preclude an office manager from worrying something along the lines of "We are being checked out because we are doing something wrong." Similar wording used for the same reason is included in the cover letter from the director to the supervisors and subordinates in their questionnaires (see Appendix B for the questionnaire for supervisors and Appendix C for the questionnaire for subordinates).

11. The note read: "Your questionnaire response as a supervisor would be very helpful to me in completing this study. To the best of my knowledge I did not receive a response from you on the first mailing. I know you are busy, but please consider taking several moments to complete the questionnaire--this would be greatly appreciated. Thanks! Richard Logozzo, University of Massachusetts."

12. Kerlinger (1973) defines ex post facto research as "...systematic empirical inquiry in which the scientist does not have direct control of independent variables because their manifestations have already occurred or because they are inherently not manipulable. Inferences about relations among variables are made, without direct intervention, from concomitant variation of independent and dependent variables" (p. 379); he defines field studies as "...ex post facto scientific inquiries aimed at discovering the relations and interactions among sociological, psychological, and educational variables in real social structures" (p. 405).

13. The use of more subjects in the present study would no doubt have constituted an intolerable intrusion on the cooperating organization.

14. THX and THY are exogenous variables in the model. Theoretically, THX and THY are independent and thus not necessarily correlated. Empirically, THX and THY have been found to be negatively correlated. As theoretically independent variables, THX and THY should be entered separately in hierarchical analysis. However, Pedhazur (1982) indicates that "all one can do when variance is partitioned in the presence of correlated exogenous variables is to determine the proportion of variance they account for simultaneously" (p. 186). To cover both theoretical and empirical bases, both methods appear here. The two methods result in the same evidence regarding the hypotheses in this particular study.

CHAPTER 4

RESULTS

This chapter presents the results of the analysis of the data. The results presented here were derived from executing the steps of analysis which were described in the "Statistical Analysis" section of Chapter 3. As a reminder, α has been set a priori at .05 for all statistical testing done in this research.

Variables and their corresponding abbreviations were specified at length in the "Statistical Analysis" section of Chapter 3. The abbreviations, which appear frequently in the present chapter, are reviewed briefly here:

Regarding supervisors:

THX: Theory X.

THY: Theory Y.

Regarding subordinates:

PDM: Participative Decision Making behavior on the part of supervisors as perceived by subordinates.

OC: Organizational Commitment on the part of subordinates.

ABS: ABSenteeism on the part of subordinates.

Regarding supervisors and subordinates:

PDMAPS: PDM Average Per Supervisor.

OCAPS: OC Average Per Supervisor.

ABSAPS: ABS Average Per Supervisor.

Coefficient alphas for scales used in the research are presented in Table 4.1. The coefficient alphas obtained here were of the same magnitude as in normative data, with the exception of the coefficient for THY, which was a little lower here (.67) than in the normative sample (.77) [1].

Theory X and Theory Y raw scores for supervisors are presented in Appendix K. Descriptive statistics on Theory X and Theory Y scores for supervisors are presented in Table 4.2; this table also provides normative scores presented by the authors of the Managerial Philosophies Scale (Jacoby & Terborg, 1975).

In this study, Theory X scores and Theory Y scores for supervisors demonstrated a Pearson product-moment correlation of $-.53$ ($n=28$; $p=.002$). Recall that Jacoby and Terborg (1975) had previously reported a "strong" negative correlation ($r=-.55$) between Theory X and Theory Y scores for their developmental sample of subjects.

Descriptive statistics on raw scores for subordinates on participative decision making (PDM), organizational commitment (OC), and absenteeism (ABS) are presented in Table 4.3. Regarding absenteeism, 68 of 219 subordinates (31.1%) reported being with their supervisor for less than 1 year and thus had their absenteeism mathematically adjusted to a yearly rate as specified in the METHOD chapter of this report [2].

TABLE 4.1

Coefficient Alpha for Each Scale

<u>Scale</u>	<u>Coefficient alpha</u>	<u>n</u>
Theory X (THX)	.86	28
Theory Y (THY)	.67	28
Participative Decision Making (PDM)	.74	219
Organizational Commitment (OC)	.81	219

TABLE 4.2

Descriptive Statistics on Theory X and Theory Y Raw Scores
for Supervisors; n=28

<u>Variable</u>	<u>Mean</u>	<u>Standard deviation</u>	<u>Minimum obtained value</u>	<u>Maximum obtained value</u>
Theory X (THX)	84.32	18.76	54.00	124.00
Theory Y (THY)	65.21	7.31	49.00	79.00
Theory X*	78.05	20.87		
Theory Y*	63.51	9.54		

*Raw-score statistics reported by Jacoby and Terborg (1975)
for supervisors (N=161) in the developmental sample for the
Managerial Philosophies Scale.

TABLE 4.3

Descriptive Statistics on Raw Scores
for Subordinates; n=219

<u>Variable</u>	<u>Mean</u>	<u>Standard deviation</u>	<u>Minimum obtained value</u>	<u>Maximum obtained value</u>
Participative decision making (PDM)	11.21	2.84	4.00	16.00
Organizational commitment (OC)	34.47	6.37	11.00	42.00
Absenteeism (ABS)	2.38	2.24	0.00	12.00

In this study, it was important to determine for each supervisor how that supervisor's particular subordinates fared regarding PDM, OC, and ABS; PDM, OC, and ABS raw scores for subordinates were thus converted to an average-per-supervisor (APS) basis. The values for PDMAPS, OCAPS, and ABSAPS for each supervisor appear in Appendix L. Descriptive statistics on the variables PDMAPS, OCAPS, and ABSAPS appear in Table 4.4.

It was necessary to determine if there were response differences associated with the order of presentation of the PDM and OC scales in the subordinate questionnaire. Of the 219 subordinates, 105 subordinates (47.9%) had been presented the PDM scale first, and 114 subordinates (52.1%) had been presented the OC scale first. The results of t-tests performed on PDM and OC raw scores for subordinates--when the subordinates were grouped by scale order--are presented in Table 4.5. As there was no evidence that scale order had resulted in significantly different mean responses on PDM and OC raw scores for subordinates, the 2 subsamples corresponding to the 2 test versions were combined for remaining analyses.

The variables THX, THY, PDMAPS, OCAPS, and ABSAPS were central characters in the analysis for this study. Pearson product-moment correlations between these variables appear in Table 4.6. A significant negative correlation was found between THX and THY. Correlations in the prescribed direction were significant between

TABLE 4.4

Descriptive Statistics on Group Scores; n=28

<u>Variable</u>	<u>Mean</u>	<u>Standard deviation</u>	<u>Minimum obtained value</u>	<u>Maximum obtained value</u>
PDM average per supervisor (PDMAPS)	11.05	1.72	7.25	13.50
OC average per supervisor (OCAPS)	34.57	2.83	26.23	38.10
ABS average per supervisor (ABSAPS)	2.29	1.07	.80	5.00

TABLE 4.5

Effect of PDM/OC Scale Order

<u>Variable</u>	<u>n</u>	<u>Mean</u>	<u>Standard deviation</u>	<u>Pooled variance estimate</u>			
				<u>t value</u>	<u>df</u>	<u>p (2-tail)</u>	
PDM:							
PDM scale first	105	11.33	2.51	}	.64	217	.524
OC scale first	114	11.09	3.12				
OC:							
PDM scale first	105	34.59	6.16	}	.27	217	.790
OC scale first	114	34.36	6.58				

TABLE 4.6

Pearson Correlations Between Key Variables; n=28

	<u>THX</u>	<u>THY</u>	<u>PDMAPS</u>	<u>OCAPS</u>	<u>ABSAPS</u>
THX	1.00				
THY	-.53**(a)	1.00			
PDMAPS	.16	-.23	1.00		
OCAPS	-.09	.29(b)	.42**	1.00	
ABSAPS	-.24	-.16	.43(c)	.36(c)	1.00

Note.--P values shown are for 1-tailed test unless otherwise stipulated.

a. $p < .01$, 2-tailed test.

b. $p = .06$, marginal significance.

c. These correlations are statistically significant under a 1-tailed test; the correlations have signs which are opposite from the signs they were expected to have, making use of probability levels from the opposite tail of the distribution inappropriate. Since findings opposite from expectations warrant attention, these correlations are retested now under a 2-tailed test:

PDMAPS and ABSAPS: $p = .02$, i.e., $p < .05$.

OCAPS AND ABSAPS: $p = .06$, i.e., marginal significance.

These recalculated p values will be considered the operative values for these relationships.

* $p < .05$.

** $p < .01$.

PDMAPS and OCAPS and marginal between THY and OCAPS ($p=.06$).

Correlations opposite to the prescribed direction were significant between PDMAPS and ABSAPS and marginal between OCAPS and ABSAPS ($p=.06$).

The results of the hierarchical analysis are presented in Tables 4.7 and 4.8. The hierarchical analysis was guided by Figure 3.1 in Chapter 3. Table 4.7 presents the results when the THX and THY variables were entered simultaneously into the regression equations, while Table 4.8 presents results when THX and THY were entered separately. The reported R^2 s indicate, of course, the proportion of variance of the dependent variable which is accounted for by the independent variable(s). Tables 4.7 and 4.8 indicate that PDMAPS accounted for a significant proportion of variance in ABSAPS and that PDMAPS accounted for a significant proportion of variance in OCAPS.

Evaluation of the Research Hypotheses

Each research hypothesis was evaluated using appropriate evidence obtained from correlations and the hierarchical analysis.

For ease in referral, the research hypotheses are presented below. The term "managers" in the hypotheses refers to "supervisors" in the present study, and the term "employees" in the hypotheses refers to "subordinates" in the present study. Hypotheses are related to the causal model of variables in

TABLE 4.7

Hierarchical Analysis When THX and THY
Were Entered Simultaneously into Regression Equations; n=28

	Sign of partial regression <u>coefficient</u>	<u>R²</u>	<u>Significance of change in R²</u>
ABSAPS regressed on THX/THY, PDMAPS, OCAPS:			
1. Enter THX/THY	-/-	.171	.096
2. Enter PDMAPS	+	.348	.018
3. Enter OCAPS	+	.427	.087
OCAPS regressed on THX/THY, PDMAPS:			
1. Enter THX/THY	-/+	.092	.298
2. Enter PDMAPS	+	.345	.006
PDMAPS regressed on THX/THY:			
1. Enter THX/THY	+/-	.054	.500

TABLE 4.8

Hierarchical Analysis When THX and THY
Were Entered Separately into Regression Equations; n=28

	Sign of partial regression coefficient	R^2	Significance of change in R^2
ABSAPS regressed on THX, PDMAPS, OCAPS:			
1. Enter THX	-	.056	.226
2. Enter PDMAPS	+	.279	.010
3. Enter OCAPS	+	.301	.396
ABSAPS regressed on THY, PDMAPS, OCAPS:			
1. Enter THY	-	.027	.403
2. Enter PDMAPS	+	.189	.034
3. Enter OCAPS	+	.255	.158
OCAPS regressed on THX, PDMAPS:			
1. Enter THX	-	.008	.643
2. Enter PDMAPS	+	.206	.020
OCAPS regressed on THY, PDMAPS:			
1. Enter THY	+	.087	.128
2. Enter PDMAPS	+	.342	.005
PDMAPS regressed on THX:			
1. Enter THX	+	.025	.426
PDMAPS regressed on THY:			
1. Enter THY	-	.052	.243

diagrammatic form in the top portion of Figure 4.1, which appears later in this chapter.

Hypothesis 1a: Managers' Theory X subscription and managers' participative behavior are negatively related.

Hypothesis 1b: Managers' Theory Y subscription and managers' participative behavior are positively related.

Hypothesis 2: Managers' participative behavior and employee commitment are positively related.

Hypothesis 3: Employee commitment and employee absenteeism are negatively related.

Hypothesis 4: Managers' participative behavior and employee absenteeism are negatively related.

Hypothesis 5a: Managers' Theory X subscription and employee commitment are negatively related.

Hypothesis 5b: Managers' Theory Y subscription and employee commitment are positively related.

Hypothesis 6a: Managers' Theory X subscription and employee absenteeism are positively related.

Hypothesis 6b: Managers' Theory Y subscription and employee absenteeism are negatively related.

Let us now look at the results in relation to each hypothesis:

Hypothesis 1a: The Pearson correlation between THX and PDMAPS ($r=.16$) was positive rather than negative as expected and was not statistically significant. The hypothesis is not supported.

Hypothesis 1b: The Pearson correlation between THY and PDMAPS ($r=-.23$) was negative rather than positive as expected and was not significant. The hypothesis is not supported.

Hypothesis 2: The Pearson correlation between PDMAPS and OCAPS ($r=.42$) showed, as predicted, a significant and positive relationship between the variables. Also, the hierarchical analysis indicated that PDMAPS accounted for a significant proportion of the variance in OCAPS. The hypothesis is supported.

Hypothesis 3: The Pearson correlation between OCAPS and ABSAPS ($r=.36$) showed a relationship of marginal significance which was positive rather than negative. In the hierarchical analysis, OCAPS does not account for a significant proportion of the variance in ABSAPS over and above that accounted for by THX/THY and PDMAPS. The hypothesis is not supported.

Hypothesis 4: The Pearson correlation between PDMAPS and ABSAPS ($r=.43$) showed a significant relationship which was positive rather than negative. Also, the hierarchical analysis indicated that PDMAPS accounted for a significant proportion of variance in ABSAPS when ABSAPS was designated as a dependent variable. The hypothesis is not supported. The opposite result was obtained.

Hypothesis 5a: The Pearson correlation between THX and OCAPS ($r=-.09$) was not significant. The hypothesis is not supported.

Hypothesis 5b: The Pearson correlation between THY and OCAPS ($r=.29$) indicated a marginal ($p=.06$) relationship between the

variables. The hypothesis is not supported (marginal support exists, however).

Hypothesis 6a: The Pearson correlation between THX and ABSAPS ($r=-.24$) was negative rather than positive as expected and was not significant. The hypothesis is not supported.

Hypothesis 6b: The Pearson correlation between THY and ABSAPS ($r=-.16$) was not significant. The hypothesis is not supported.

Hypothesis outcomes are summarized in Table 4.9.

Expected results vs. obtained significant results are summarized in diagrammatic form in Figure 4.1. Expected relationships dictated by the theoretical model appear in the upper part of Figure 4.1, and obtained relationships which were statistically significant appear in the lower part of the figure.

Supplementary Results

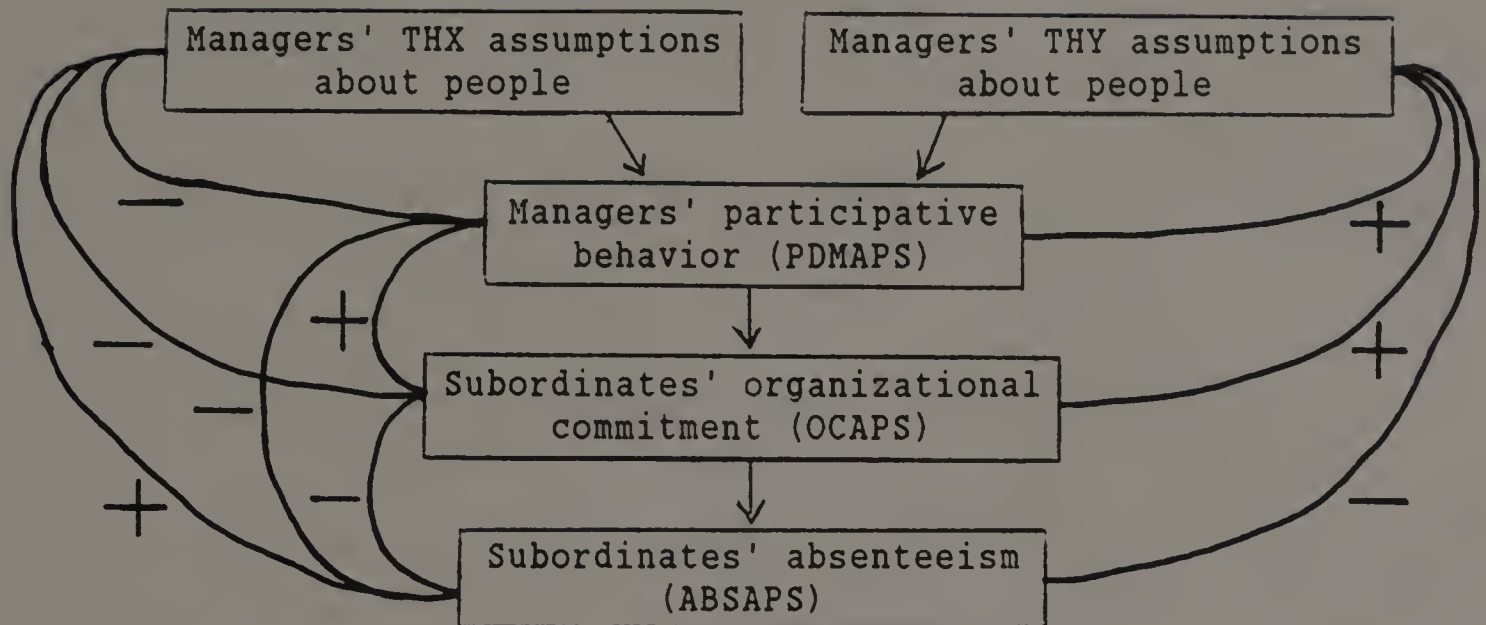
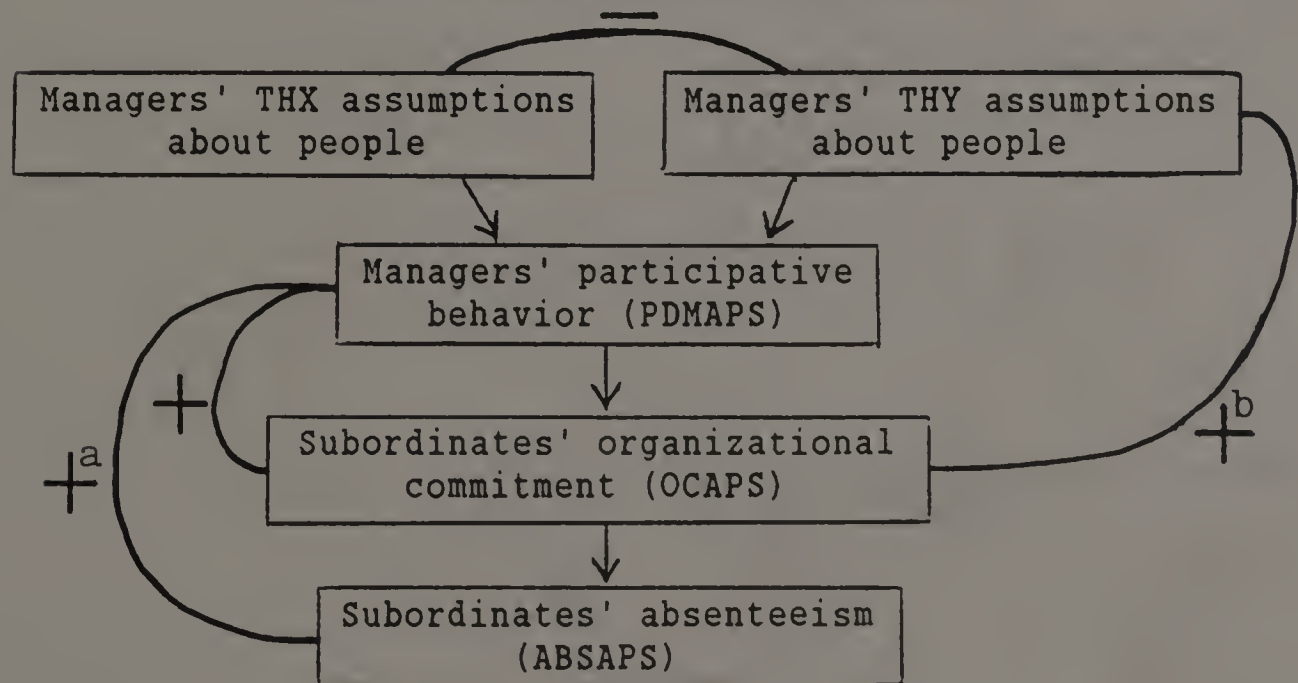
Supplementary results appear in Appendix M, "Effect of Subordinates' Position Grade Level." Though position grade level did not affect the main results of this study, the reader is alerted to the variable's potential effect in future studies.

Supplementary results also appear in Appendix N, "Additional Performance Measures." Information from this appendix indicates that subordinate absenteeism is possibly associated with lower work productivity and quality.

TABLE 4.9

Summary of Hypothesis Outcomes

Hypothesis 1a:	Managers' Theory X subscription and managers' participative behavior are negatively related. NOT SUPPORTED.
Hypothesis 1b:	Managers' Theory Y subscription and managers' participative behavior are positively related. NOT SUPPORTED.
Hypothesis 2:	Managers' participative behavior and employee commitment are positively related. SUPPORTED.
Hypothesis 3:	Employee commitment and employee absenteeism are negatively related. NOT SUPPORTED.
Hypothesis 4:	Managers' participative behavior and employee absenteeism are negatively related. NOT SUPPORTED (opposite result obtained).
Hypothesis 5a:	Managers' Theory X subscription and employee commitment are negatively related. NOT SUPPORTED.
Hypothesis 5b:	Managers' Theory Y subscription and employee commitment are positively related. NOT SUPPORTED (marginal support exists, however).
Hypothesis 6a:	Managers' Theory X subscription and employee absenteeism are positively related. NOT SUPPORTED.
Hypothesis 6b:	Managers' Theory Y subscription and employee absenteeism are negatively related. NOT SUPPORTED.

Expected results:Obtained significant results:

- a. Obtained result was opposite to expectation.
- b. Relationship received marginal support.

Figure 4.1. Expected results vs. obtained statistically significant results.

NOTES, CHAPTER 4

1. Coefficient alpha for the PDM scale would have been .82 if Item 4 of that scale had been deleted. The item, to which at least several subordinates gave their highest response value and at least several others gave their lowest value, did not hang especially well with the other items. In the absence of a uniformly problematic response pattern, it was decided to retain the item in the analysis.

2. Recall that data from 3 subordinates was not included in the analysis as these subordinates had been with their present supervisor for only one month. Data based on the remaining 219 subordinates indicated that "months with present supervisor" ranged from 2 months to 90 months with a group mean of 23.39 months.

CHAPTER 5

SUMMARY AND DISCUSSION

In this chapter, a summary of the context, methodology, and major findings of the study is presented. Results or issues that warrant further comment are discussed, and this study is compared with previous studies. Limitations of the study are enumerated, and some additional speculations are offered. Conclusions and implications for practice are presented, and finally, recommendations are made for future research.

Summary of the Study

The purpose of this study was to garner new evidence that would indicate there is an association between managers' assumptions and their employees' attitudes and performance. The study utilized Douglas McGregor's concepts of Theory X (employees are assumed to be irresponsible) and Theory Y (employees are assumed to be responsible) and was guided by McGregor's theoretical model (see Figures 1.1 and 1.2 in Chapter 1). It was expected that managers' tendency to subscribe highly to Theory X would be associated with a tendency to seldom allow subordinates to participate in decision making; subordinates treated thusly were expected to tend to exhibit low organizational commitment and high absenteeism. Conversely, it was expected that managers' tendency to subscribe highly to Theory Y would be associated with a tendency

to frequently allow subordinates to participate in decision making; subordinates would tend to respond with high organizational commitment and low absenteeism. These and all associated expectations are summarized in the upper half of Figure 4.1 in Chapter 4.

The study was conducted in one organization using 219 subordinates and their 28 supervisors. Managers' assumptions, managers' participative behavior, and subordinates' organizational commitment were measured using questionnaires; subordinates' absenteeism was measured by use of personnel records. Data were analyzed using correlations and hierarchical regression analysis.

Statistically significant results are summarized in the lower half of Figure 4.1 in Chapter 4. The result which matched an expectation was that managers' use of participative behavior was related positively to subordinates' organizational commitment. The result which matched an expectation, but with statistically marginal rather than significant support, was that managers' subscription to Theory Y was positively related to subordinates' organizational commitment. The result which was contrary to an expectation was that managers' use of participative behavior was positively rather than negatively related to subordinates' absenteeism. Also, Theory X and Theory Y were found here to be negatively correlated.

In reference to its original purpose, this study was able to implicate managerial assumptions in the employee attitude of organizational commitment with statistically marginal support. There was no support for implicating managerial assumptions in employee performance.

Findings and Issues Warranting Further Comment

The relationships involving participative behavior, commitment, and absenteeism are intriguing. With the recursive, or hierarchical, causal model which has guided this research (see Figure 3.1 in Chapter 3), the hierarchical analysis "becomes a tool for estimating the effects associated with each cause" (Cohen & Cohen, 1983: 121). When absenteeism (ABSAPS) was designated as the dependent variable (see Table 4.7 in Chapter 4), participative behavior (PDMAPS) was the sole variable which accounted for a significant proportion of variance in absenteeism. The hierarchical analysis contributed information not available from the Pearson correlations: Though commitment (OCAPS) and absenteeism demonstrated a marginally significant correlation ($r=.36$; $p=.06$), the hierarchical analysis indicated that once the participative behavior variable had been entered into the regression equation, commitment did not account for a significant proportion of variance in absenteeism (this situation occurred because participative behavior and commitment share variance, i.e., are correlated). The analysis thus offered evidence of a causal

link from participative behavior to absenteeism. When commitment was designated as the dependent variable (this is equivalent to examining part of the model), participative behavior alone accounted for a significant proportion of variance in commitment. This finding offered evidence of a causal link from participative behavior to commitment. Other causal links in the model did not receive support. In summary, the hierarchical analysis offered evidence to suggest managers' participative behavior is a cause of (greater) subordinate commitment and, at the same time, (greater) subordinate absenteeism.

The finding that managers' participative behavior and subordinates' organizational commitment are positively related offered support for that link in McGregor's model. The finding is also in direct accordance with the theoretical positions of Likert (1967) and Salancik (1982) and the empirical findings of Rhodes and Steers (1981), Platten (1984), and Zahra (1984). Because it was subordinates who responded to both the participative behavior and organizational commitment scales, we need to bear in mind the possibility of the existence of a response set or bias (Helmstadter, 1964); for example, individuals somehow predisposed to agree or to disagree with questionnaire items apart from item content may have contributed to the positive correlation between these two variables.

Managers' participative behavior was found to have a positive rather than a negative relationship with subordinate absenteeism. This contratheoretical finding has been similarly seen in the Rhodes and Steers (1981) study which compared a worker-owned cooperative to a conventional organization. Results there indicated that perceived participation in decision making was greater in the cooperative than in the conventional sample, and that participation in decision making was significantly related to commitment in both samples. However, contrary to prediction, absenteeism was greater in the cooperative than in the conventional firm (the authors speculated that absence-control policies or other similar factors may have had a role in the findings). Thus, the Rhodes and Steers study and this study had comparable findings regarding the relationships among participation, commitment, and absenteeism.

It seems possible that absenteeism does not necessarily need to reduce performance, as absenteeism may be used by workers to renew themselves into highly productive people (see Mowday et al. [1982] and Marcus and Smith [1985]). Correlations between absenteeism and work performance measures are presented in Appendix N. For reasons mentioned in the beginning of that appendix, the correlations should be considered tentative. They indicate that groups of claim processors with higher absenteeism demonstrated lower work productivity and quality. It thus seems possible that

absenteeism may have been detrimental to work performance in the present study.

What possible reasons could account for the finding that higher managerial participative behavior was associated with higher subordinate absenteeism?

One possibility is that subordinates, when given more leeway to express themselves, take advantage of the more liberal situation by taking time off from work. Such behavior reflects a debate which has raged without resolution for years: People do not want to work and will take any opportunity to avoid it vs. People react logically [with absenteeism] to a system which does not meet their personal needs (Argyris, 1957). That is, absenteeism represents adaptive escape from a constraining work setting, and participative supervisors contribute to such adaptation. However absenteeism comes about, it would certainly be viewed with concern by managers who monitor organizational performance.

A second possible reason for the finding is that participative behavior may somehow be associated with a concept of "easygoingness." The participative behavior of supervisors may be only one of several behaviors which make up an easygoing approach to dealing with people. Easygoing supervisors may allow infractions of rules to pass with messages which range from subtle to overt: Perhaps infractions will be quietly ignored or will be attended to with a physical wink which says "I did not see a

thing." We must bear in mind also the possibility that more participative supervisors have no intent of being easygoing, but their participative behavior does lead subordinates to perceive the supervisors as relaxed and casual.

A third possible reason for the positive relationship between managerial participative behavior and subordinate absenteeism has to do with, of all things, motherhood. Most of the claim processors in this study were women of child-rearing age. Most of the supervisors were also women with a slightly higher modal age than for claim processors. Of the ten supervisors who had the highest participative behavior scores, nine were women. Possibly the more participative supervisors were the more nurturing of the supervisors, perhaps as a result of their own motherhood. And perhaps these more participative supervisors tolerated or even allowed their subordinates more time away from work to deal with children's issues and illnesses. This speculation implies, of course, that the relationship between managerial participative behavior and subordinate absenteeism may have been largely influenced by the nature of the particular sample used. Though data regarding parental status of subjects was not collected in the present study, it is suggested that future studies obtain such data.

A fourth possibility is that the positive relationship between managerial participative behavior and subordinate absenteeism was

spurious, i.e., the two variables were correlated only because they were affected by the same cause (Pedhazur, 1982). One could imagine that how individual rights are regarded in a company or office culture could affect both managerial participative behavior and subordinate absenteeism (e.g., more emphasis on individual rights would mean that participative behavior is viewed favorably and subordinate absenteeism is tolerated to a greater extent). Or the climate of leniency experienced in a company or its offices could affect both managerial participative behavior and subordinate absenteeism (e.g., a relatively lenient climate would mean people are freer to say how things should be done and freer to be absent from work). In looking for evidence of such a spurious relationship, if supervisors from a certain office (or offices) could be identified as being high on both the participative and absenteeism variables, that office may be an especially good source of information about a common cause. Checking the ten highest participative scores and the ten highest group absenteeism scores indicated no such compelling trend for the supervisors of a particular office. A common cause could still have operated on a company-wide basis, however. Also, a common cause may have operated within supervisors; for example, a supervisor's level of favoritism toward subordinates may have affected how participative the supervisor was perceived to be and how much absenteeism the supervisor allowed. Identifying a common cause with some degree of

confidence would likely involve becoming much more knowledgeable about the atmosphere and procedures within the company, particular offices, and particular supervisor's groups. Identification of a common cause might require, of course, at least some respecification of the McGregor model.

The fifth possible reason for the positive relationship between managerial participative behavior and subordinate absenteeism may involve a very subtle process. Recall that higher participative behavior, as well as being associated with higher absenteeism, was also associated with higher subordinate commitment to the organization. Participative behavior may lead to commitment to both organizational and personal goals on the part of workers (McGregor called this "integration"). Participative behavior may also trigger McGregor's "transactional" character of influence where workers as well as managers have some degree of influence regarding goal-setting and work decisions. Workers, though committed to the organization, may be expressing, by their absenteeism, their opinion about required performance. They are "voting" for lower levels of performance as they balance organizational and personal needs [1]. Through absenteeism, the workers could be expressing fairly directly their opinion that absenteeism standards are too stringent; or, through absenteeism, they could be expressing somewhat indirectly their opinion about productivity/quality standards. Indirect expression through

absenteeism about productivity and quality standards seems tenable, since broad standards for productivity and quality are set forth in job descriptions by higher levels of management in the company studied. In light of all these thoughts, it seems possible that managerial participative behavior may simultaneously set off both higher subordinate commitment and higher absenteeism. It is important to note that, with regard to all of this speculation, the variables of McGregor's model are not changed, but rather the model is performing in a different manner in particular circumstances, heretofore not considered, where workers presumably think performance standards are set too high.

Turning to another finding, the expected relationship between Theory Y and organizational commitment received marginal support. Also, as expected, and mentioned earlier, managerial participative behavior was related to subordinate organizational commitment. However, there was no support for a relationship between managers' Theory Y assumptions and their participative behavior. Speaking tentatively because a marginal relationship is involved, this means that managerial participative behavior does not receive support as the intervening variable between managers' assumptions and subordinates' commitment. Since Theory Y "resides" within managers and organizational commitment "resides" within subordinates, the idea of an intervening variable or variables between Theory Y and commitment is germane. A review of the participative behavior

instrument showed it to be logical and to have apparent face validity, and the participative behavior variable did demonstrate the prescribed relationship with organizational commitment. Perhaps the tasks of the claim processors and their supervisors are so highly structured (the job descriptions seem to indicate a lot of structure) that there is simply not enough opportunity for managers' assumptions to manifest themselves very clearly and strongly in managerial behavior. It is also conceivable that the Theory Y-organizational commitment relationship could operate partially or totally through some intervening variable not considered in this study. For example, perhaps Theory Y managers extend a certain personal caring to which subordinates respond with commitment to the organization [2]. We must also bear in mind the possibility that it is the managers' assumptions and behavior that could follow from the subordinates' level of commitment, though such a situation would certainly go against theory as generally presented in the literature and as specified in this paper.

The lack of support for an expected relationship between managerial assumptions and managerial participative behavior beckons us to consider the possibility that supervisors and subordinates had different perceptions. Recall that supervisors reported their own assumptions, but that subordinates' perceptions were utilized for the measure of managerial participative behavior. Citing statistically nonsignificant correlations, now, for the sake

of speculative discussion only, the correlation between Theory X and managerial participative behavior was .16, and the correlation between Theory Y and managerial participative behavior was -.23. The signs of both correlations were opposite from the signs expected. If we assume that managerial assumptions do lead to different managerial behavior in the way prescribed by McGregor, there was not apparent agreement here between supervisors' and subordinates' perceptions: When, for example, supervisors reported that they tended to subscribe to Theory Y, subordinates reported that they tended not to see in those supervisors behaviors expected to be associated with Theory Y. Perhaps supervisors' self-images were simply different from how subordinates saw them. Or perhaps supervisors somehow shaped their questionnaire responses to reflect assumptions they would like to have or think are socially acceptable. However perceptual differences might occur or might be reported, they should be considered as a potential problem in research of this type [3]. Fiman (1973) found in his research on McGregors's theory that his reported relationships were most clear when subordinates' perceptions, rather than supervisors' self-responses, were used to represent supervisory assumptions and behavior. To the end of better understanding the effect of perceptual differences in McGregor's model or similar models, future research might incorporate measurement and analysis of both

managers' and subordinates' perceptions regarding both managerial assumptions and managerial behavior.

Though commitment was found to be related to managerial participative behavior, a relationship between commitment and the performance measure of absenteeism was not established in the present study. Again, a very similar result has been seen before: Platten (1984) tested a model of quality circle process that proposed organizational commitment as an intervening variable between job enrichment dimensions and outcome variables such as productivity, product quality, and absenteeism. "...organizational commitment was related to job enrichment variables, but unrelated to outcome variables" (Platten, 1984: ix). Platten suggested his result was perhaps due to quality circles effecting change in peripheral issues (such as feedback on performance) but not substantially impacting work methods, procedures, or pay practices. In the present study, commitment did not explain variance in absenteeism over and above what was explained by managerial participative behavior. It is possible that, in relation to a managerial behavior variable, commitment is not as strong a determinant of performance as the model indicates. The situation here could also be complicated if there is truth to the earlier speculation that workers in the present sample were reacting, without malice toward the company, to decrease productivity. Though the literature indicates organizational commitment and job

performance apparently exhibit a weak relationship, recall that organizational commitment and attendance were found to be positively related in five studies (Mowday et al., 1982). Also, Angle and Perry (1981) remind us that finding effort-performance relationships takes place in "noisy systems." Until more empirical evidence is obtained on different samples of subjects and using a range of performance measures, it seems fair to say that the jury is still out on the issue of a commitment-performance relationship.

No expectations concerning Theory X assumptions were fulfilled on either a statistically significant or marginal level. The result may be an important cue that findings related to Theory X will not necessarily be the simple converse of findings related to Theory Y. Hall and Donnell (1979) received this same cue: Though they found that adherence to Theory X propositions was associated with lower levels of managerial achievement, the expectation that Theory Y would facilitate managerial accomplishment failed to receive support in their study. So though there is empirical evidence that Theory X and Theory Y are strongly and negatively related, the concepts may operate as other than mere mirror images of each other. It seems that respecification and/or refinement of models involving Theory X and Theory Y may be required to obtain a fuller understanding of the concepts and of how the concepts interact with other variables. A first step to this fuller understanding might be comprehensive examination of the

relationship between the Theory X and Theory Y concepts; a recommendation for such an examination is made later in this chapter.

This Study Compared with Previous Studies

Let us now compare the findings of especially relevant previous studies with the results obtained here. Several studies (Brown & Ladawan, 1979; Boy, 1982; Fiman, 1973; Hall & Donnell, 1979), as well as the present study, examined Theory X and Theory Y managerial assumptions in relation to organizational outcomes (attitudes and performance of organization members) [4]. Hall and Donnell (1979) implicated managerial assumptions in managerial performance as opposed to subordinate performance, so their findings are not directly comparable to findings here. Though Brown and Ladawan (1979) were unable to link managerial assumptions to subordinate attitudes (they measured satisfaction with leadership in selected organizational processes), the present study was able to indicate at least a tendency for Theory Y assumptions and organizational commitment to be positively associated. It is difficult to know why Brown's and Ladawan's expectations went unsubstantiated [5]; perhaps subordinate organizational commitment, a variable carefully placed by McGregor in his theoretical model, is simply a more appropriate variable to reflect subordinate attitudes in relation to managerial assumptions. The Fiman (1973) study and the present study are most similar in that both examined

relationships among managerial assumptions, managerial behavior, subordinate attitudes, and subordinate performance. The variables in the two studies were specified somewhat differently. Fiman, in studying office workers and their supervisors, developed his own instrument to measure Theory X and Theory Y; he used behavior measures which incorporated Fleishman's Consideration and Initiating Structure; he used job satisfaction to represent subordinate attitudes; and his performance criteria consisted of supervisory rankings and ratings. It is important to reiterate here that relationships reported by Fiman were most clear when subordinates' perceptions, rather than supervisors' self-responses, were used to represent supervisory assumptions and behaviors. When the Fiman study and the present study are examined together, it is interesting to note that both studies were able to show an association or tendency for an association between managerial assumptions and employee attitudes (job satisfaction for Fiman, commitment for the present study). While the present study was unable to relate managerial assumptions to managerial behavior, Fiman was able to support that relationship. Where Fiman was unable to show a relationship between supervisory assumptions and behaviors and level of subordinate performance, the present study found, contrary to theory, that higher managerial participative behavior was associated with higher subordinate absenteeism. In retrospect, Fiman's study apparently began to specify the type of

managerial behaviors that are associated with Theory X and Theory Y managerial assumptions, and the present study has apparently begun to implicate managerial behavior in a performance measure (again, though, the performance measure of absenteeism was higher when it was expected to be lower). This study and the Fiman study were the only two that have tried to implicate Theory X and Theory Y managerial assumptions in subordinate performance. Neither study could provide the evidence to support the hypothesized relationship.

Limitations of this Study

Limitations of the study not already mentioned in Chapter 1 include: 1) Random selection of subjects was not used due to practical constraints, so subjects were selected as a convenience sample. Random selection would have allowed confident generalization of results from sample to population. Based on the assertion of a claim-department manager that the office, supervisor, and claim-processor samples were fairly representative of their respective populations, it seems reasonable to cautiously generalize results to the full population of offices, supervisors, and claim processors in Company X. 2) Though response rates were generally good, we must be aware that approximately 30% of the subordinates selected themselves out of the study (i.e., they did not respond); also, subordinates in differing percentages in each supervisor's group selected themselves out of the study (see

Appendix J). We must bear in mind that this self-selection process may have differentially affected certain characteristics of the sample. For example, perhaps those subordinates who interacted least well with their supervisors were the ones who decided, out of anger or some fear of reprisal, not to provide any perceptions about their supervisors or company. 3) The attendance policies differed somewhat between the four offices. Since subordinate absenteeism was a variable included in this study, it would have been ideal if employees in all four offices had been subjected to identical attendance and attendance-incentive policies to avoid extraneous variability in absenteeism. Fortunately, the same broad expectation for good attendance was common to the four offices. 4) The adjustment to a yearly absenteeism rate was necessary for 68 (31%) of the 219 claim processors because they had been with their present immediate supervisor for less than one year. The adjustment extrapolated absenteeism from less than a year to a yearly basis, and thus potentially understated or overstated absenteeism for those individuals. This limitation was hopefully mitigated by dropping from all analyses the data for the three claim processors who had been with their supervisors for only one month. It is also important to note that Appendix M, in its investigation of position grade level, demonstrated that the main results of this study were the same when position grade level 22

was dropped from the analyses; position grade level 22 encompassed 48 (71%) of the 68 claim processors whose absenteeism was adjusted.

Additional Speculations

In addition to the factors just discussed, the researcher can offer some other speculations regarding the study.

Generally, the results do not offer much support for the McGregor model. The one expected relationship which was supported at a statistically significant level (i.e., managers' participative behavior and subordinates' organizational commitment were positively related) was also the one relationship which was subject to possible response bias as both variables were measured on the same questionnaire. In addition, there was the finding that higher managerial participative behavior was associated with higher rather than lower subordinate absenteeism.

The results were, on the whole, disappointing. As was mentioned in Chapter 1 of this report, the McGregor model drew the researcher's enthusiasm as a potential way to enhance the experience of work for people and to increase production. The results, though disappointing, were not shocking: The study attempted, in the context of a complex system of variables, the difficult task of demonstrating relationships among variables from three independent sources (the supervisors, the subordinates, and subordinates' personnel records). Also, though the number of

supervisors here was at least reasonable, a larger sample of supervisors would likely have been more sensitive to smaller effect sizes.

On the chance that some pattern would have pointed the way to some further explanation for the results obtained, the data were visually reexamined. For the main variables of the study (THX, THY, PDMAPS, OCAPS, ABSAPS) the ten highest values and then the ten lowest values of each variable were checked to determine if supervisors from a particular office were the ones loading high or low on a particular variable. Clear patterns were not discernible, with the exception of one office having all of its supervisors fall within the ten highest scores for Theory Y. The finding, though interesting, was not especially useful or interpretable, as several of those same supervisors were seen by their subordinates as being relatively low on participative behavior [6]. Additionally, the reexamination of the data involved checking response rates for each supervisor's group of claim processors to determine if groups from a particular office monopolized either the high or low response rates; no convincing pattern emerged from looking at the ten highest and ten lowest values. The reexamination of the data was not helpful in providing insights about the results.

Speculation can be made about the general lack of expected results in the present study, and mention can be made about what the speculations imply for future studies:

The selection of subjects may have resulted in an attenuated sample. Subjects came from one industry, one company, and one department which all appear to be highly bureaucratized. Further, this study was restricted to one task type which also was highly structured. In retrospect, this particular setting may not have allowed full ranges of assumptions and behaviors to manifest themselves. Since so much behavior was prescribed for both supervisors and subordinates, there simply may not have been enough latitude for managerial assumptions to evidence themselves in managerial behavior; and though managerial participative behavior was associated with higher subordinate commitment, perhaps the participative behavior was restricted to a range which was just not potent enough to induce commitment to a level which would significantly affect performance. Given this speculation about a bureaucratized setting along with previously mentioned concerns about restricted sample size, restricted sample type (mostly women), and differing absenteeism policies, there is a fairly straightforward option for a future study: The present study could be replicated in a different setting. So that fuller ranges of assumptions and behaviors could manifest themselves, the work setting should be fairly flexible and organic, and supervisors and subordinates should be allowed substantial discretion in performing their jobs. Though such a setting or settings may not be readily or easily located, they should be sought out. To increase

sensitivity to effects, sample size would hopefully be much larger; perhaps supervisors could number at least two or three times the number utilized in the present study. To avoid results which may be sample specific, the subjects should be fairly heterogeneous with regard to factors such as gender and age. Finally, to avoid extraneous variability in the absenteeism variable, all subjects should be regulated by identical attendance and attendance-incentive policies.

Continuing now with speculations about the lack of expected results, it is possible that the model as tested was too simplistic to account for very much variance. As an initial study of the McGregor model, the present study was kept rather streamlined. However, in light of the modest correlations here, we need to consider that the model neglects relevant variables. Two ways to enhance the model are to include any variable which is speculated to be missing and to include variables from McGregor's larger framework. Let us first discuss one variable which was speculated to be missing from the present study and then discuss McGregor's larger framework of variables.

It has already been suggested in this chapter that a variable of managerial caring or concern may operate as an intervening variable between management assumptions and subordinates' commitment. This variable of caring or concern could be tested in

the McGregor model alongside, but not necessarily replacing, the managerial participative behavior variable.

Enhancing the model for future testing can also be accomplished by utilizing McGregor's full framework of variables which appears as Figure 2.1 in Chapter 2 of this report. Variables thought to be most relevant could be added, one or several at a time, to the model as it was tested here. For example, different task types could be incorporated as a variable so results could be compared across jobs. The model could conceivably operate differently for, say, simpler task types vs. highly complex ones; perhaps people in highly complex jobs would be much more concerned with just getting guidance rather than being allowed to participate in work decisions. Another variable which could be tested in the model might involve the rewards associated with performance. Looking at rewards may raise some interesting questions and issues and may cast doubts on the effectiveness of the McGregor model in the absence of appropriate rewards. Are supervisors rewarded if their group achieves increased performance? Perhaps supervisors in many cases simply have no incentive to coach their group. For supervisors, is behaving participatively valued and rewarded? Perhaps supervisors are rewarded for matching the corporate style, which may be very directive. A complementary variable would involve the rewards for subordinates. What rewards are associated with increased individual performance? Perhaps subordinates'

increased commitment and performance are sustained only to the extent that commitment and performance are consistently recognized and rewarded. Adding variables which concern rewards or any other variables from the full McGregor framework to a tested model would, of course, require that the variables be carefully specified and operationalized, but the effort may result in a more realistic model which accounts for more variance than would a simpler model.

Continuing again with speculations about the lack of expected results, it is possible that the McGregor model is just not a good representation of what occurs in organizations. Perhaps corporate culture will almost always overpower individual manager's assumptions and corporate procedures will overpower individual manager's attempts at participative behavior. Perhaps subordinates' work motivations are governed by financial remuneration to such a large extent that McGregor's theory pales when compared to the pay check. Recall that Chapter 1 of the present study mentioned that Tausky (1970, 1978) was doubtful, given our society's accentuation of individual goal attainment, that organizations can be restructured to emphasize organizational objectives as much as personal objectives. Tausky (1984) might be a good source if one is confronted with developing a new model for improving organizational outcomes: His concepts of job security and profit sharing for employees might be used as focal variables in a new model.

This researcher personally prefers a conservative approach that would test the McGregor model further before discounting it. Since the theory receives substantial acceptance on a theoretical level, the model deserves careful testing on an empirical level. A conservative approach would consist of replicating the present study in a different setting followed by testing the model as additional variables are incorporated into it. If these approaches offer little or no support for the model, then it would seem appropriate to set the model aside or to consider making major respecifications such that the model is, in essence, eliminated.

Conclusions and Implications for Practice

One important contribution of the present study is the evidence regarding a relationship between Theory Y managerial assumptions and subordinate organizational commitment. The commitment variable has not been included in any previous investigation of the consequences of managerial assumptions. In light of Douglas McGregor's theoretical work, the omission of the commitment variable seemed potentially serious. The tendency for Theory Y assumptions to be associated positively with commitment gives credence to the relevancy of the commitment variable to McGregor's model. Recall that the purpose of this study was to garner new evidence that would implicate managerial assumptions in organizational outcomes (attitudes and performance). The Theory Y-commitment finding offers new evidence, however tentative, about

managerial assumptions being related to a subordinate attitude. Of course the genuine value of the commitment variable, according to the McGregor framework, is that it should help link managerial assumptions to subordinate performance. Though a managerial assumption-subordinate performance relationship was not substantiated here, this study was able to at least show a tendency for managerial assumptions to be involved as far "down" in the model as subordinate commitment.

A second contribution of the study is the support for another part of McGregor's model, namely the positive relationship between managerial participative behavior and subordinate commitment. Again, the supposed value of commitment is its positive relationship with performance. The participation-commitment relationship (supported here) and the commitment-performance relationship (not supported here but substantiated in other studies) warrant continued attention.

A third contribution, of mixed blessing, is the finding of a positive relationship between managerial participative behavior and subordinate absenteeism. Disappointingly, the finding is opposite to the theoretical expectation that higher participative behavior would be associated with lower absenteeism. The finding, similar to one seen before by Rhodes and Steers (1981), required conjecture about its source. The conjecture was beneficial in alerting the researcher to a potentiality which he had never before considered:

Given the opportunity, workers may decrease performance (e.g., refrain from coming to work) if they think performance standards are too high. This possibility challenges the assumption behind McGregor's model that, given the appropriate managerial assumptions and behaviors, workers will always increase performance.

Researchers who use McGregor's model in the future should keep an eye open to this conjecture.

The McGregor model directly refers to the practice of management, and there are thus practical implications of the findings here. If increasing organizational commitment of workers is a goal of those running an organization, one way to increase commitment may be by employing managers who subscribe to Theory Y assumptions; teaching, or at least informing, managers about Theory Y assumptions may also be possible. A second way to increase commitment may be by employing managers who use participative behavior in decision making; training managers to use participative behavior in decision making may also be possible. Increasing organizational commitment of workers may be an end in its own right or it may additionally be used, at least in theory, as a way of enhancing performance (enhancing performance through commitment was not empirically supported in this study, so performance implications will not be emphasized here). The bottom line of evidence found here is that how managers view workers in terms of

assumptions and how managers behave toward workers in terms of participation may affect how committed workers are to the organization.

In Chapter 1, it was stated that organizational efforts may be impeded by giving much attention to structural changes in the organization without recognizing the role of managerial assumptions. Here we have evidence that managers' Theory Y assumptions tend to be associated with an organizational outcome. This finding should hopefully encourage managers of all levels to be aware of, and actively consider, the potential role of managerial assumptions in organizational change efforts, in employee participation programs, in employee development programs, or in any program aimed at getting managers or workers to think or behave in new ways [7].

Based on the finding here that higher managerial participative behavior was associated with higher absenteeism (and absenteeism was possibly associated with lower work productivity and quality; see Appendix N), managers need to be aware of the notion that using a more participative approach to management may result in workers deciding on their part to decrease attendance and/or work performance. With participative programs, managers will need to carefully measure individual and organizational performance rather than assume that performance will, in accordance with theory, increase. Also, based on speculation made earlier, before managers

embark on a participative approach to management, they should make an attempt to assess workers' perceptions of present performance standards: Can workers envision improvements in performance, or do workers already feel pressed to their limits or even beyond?

Recommendations for Future Research

The position has already been taken here that the McGregor model as it relates to managerial assumptions warrants continued empirical attention. This is not to say that this researcher would not welcome the development and testing of other models as well. It was suggested that the present study be replicated with a larger, more heterogeneous sample which is governed by a single attendance policy and also that the McGregor model be retested as selected variables are added to it. The investigation of the following issues would likely extend or enhance any testing of the McGregor model:

The relationship between Theory X and Theory Y needs comprehensive examination. More could be learned by both quantitative (e.g., factor analysis) and qualitative techniques. Just how are the concepts different or alike? Are the differences polar-opposite? What elements or factors may they share? The results of such an examination would be inherently interesting, but also they might help in understanding whether or not we can reasonably expect converse effects on organizational outcomes from

Theory X and Theory Y. This study, and that of Hall and Donnell (1979), did not find support for simple converse effects.

Situational and/or environmental variables might be added to tests of the McGregor model (see Carbone, 1981; Goldstein, 1986; March, 1974; Morse & Lorsch, 1970; Nord, 1978). A situational treatment might compare supervisor-subordinate interaction during, say, a routine day vs. a day of crisis when all computer systems are out of order. An environmental treatment might compare supervisor-subordinate interaction during a "routine" period vs. a period of stress when the organization is targeted for take-over. The use of situational and environmental factors would allow assessment of the stability or change of managerial assumptions and behaviors over different circumstances.

Given that the results here regarding absenteeism were opposite from expected, it would be desirable to examine a range of performance variables to determine how the various variables behave in the context of the model.

Variables related to subordinate attributes need further investigation in relation to the McGregor model. Just as assumptions and behaviors of managers supposedly affect subordinates, assumptions and behaviors of subordinates may be a determinant of the behavior of managers (Benson, 1983). In particular, Theory X and Theory Y assumptions of subordinates may be addressed vis-à-vis Theory X and Theory Y assumptions of

managers [8]. Other subordinate attributes which are likely candidates for study are possessed and desired personal control (Greenberger, Strasser, & Lee, 1988), internal-external locus of control (Ruble, 1976; Rotter, 1966), and authoritarianism and need for independence (Vroom, 1960).

Testing of managerial assumptions will hopefully be performed ultimately with statistical techniques, such as LISREL (Jöreskog & Sörbom, 1986), which can assess causality among full models of variables. LISREL will, of course, require substantial sample sizes.

Finally, the McGregor model and the above issues will hopefully be examined across different samples of subjects.

Results here showed managerial assumptions tended to be related to subordinates' organizational commitment. The relationship of these two variables, and the McGregor model at large, need further examination. Likely of special interest to management researchers and practitioners everywhere is more clearly understanding how the model relates to individual and organizational performance.

NOTES, CHAPTER 5

1. In the study of Zahra (1984), perceived participation, commitment, absenteeism, and performance showed relationships which were compatible with the prescriptions of McGregor as put forth in the present paper. Employees in that work setting were perhaps comfortable in raising attendance and performance to better meet organizational and personal needs.

2. The concept of supervisors' personal caring toward subordinates also suggested itself to the researcher upon his reflection of Appendix M, "Effect of Subordinates' Position Grade Level." Of the four subordinate position grade levels, grade 22 had the highest mean organizational commitment score and grade 23 had the lowest. Regarding absenteeism, the same pattern occurred, where grade 22 had the highest mean absenteeism and grade 23 had the lowest. There seemed to be a rebound phenomenon regarding these two variables, where each variable went from its highest to lowest value within the shift from grade 22 to 23 and then moderated in grades 24 and 25. Though these results are difficult to interpret, one might speculate that there is a level or type of personal caring given to new arrivals (grade 22) by supervisors which induces high commitment in subordinates and indulges their absenteeism (despite an attendance policy which is most stringent toward new employees). The removal of such caring (e.g., "we coddled you as a newcomer, but now it is time to go to work!") may induce a sudden drop in commitment, and absenteeism drops as attendance is also treated with a new seriousness. Commitment levels may even out in grades 24 and 25 as the employees mature at the job and feel less of a need for special attention. Absenteeism may level out as supervisors' attitudes toward absenteeism become regular rather than "hard line." All of this speculation reinforces the idea that a variable regarding caring by supervisors should be tested in the McGregor model.

3. The case could be argued that perceptual differences are not an issue here: Supervisors are simply reporting their assumptions, not perceptions about their participative behavior. Lack of expected relationships between managerial assumptions and subordinates' perceptions of managerial participative behavior might be due to a work setting that does not allow managerial assumptions to manifest themselves strongly in behavior; or perhaps the theory that managerial assumptions will be manifested in managerial behavior is misconceived.

4. Comparison of findings for Boy (1982) with findings from the present study will not be undertaken here. Interpretation of

the Boy study was difficult due to the study's limitations which were mentioned in Chapter 2 of this report.

5. Fiman (1973) was able to relate managerial assumptions (as perceived by subordinates) to subordinates' satisfaction, though he used job satisfaction as opposed to Brown's and Ladawan's satisfaction with leadership.

6. This may be an example of a situation, discussed previously, where the supervisors' and their subordinates' perceptions apparently did not corroborate each other. It could also be argued, with the perception issue aside, that the managerial assumptions did not become manifested in behavior. In any case, the finding did not help clarify any issue.

7. If this study had fully supported the anticipated Theory X and Theory Y relationships with organizational outcomes, there would have been--with evidence regarding both Theory X and Theory Y--clear support of paradigmatic error cited in Note 4 at the end of Chapter 1: Managers saying they would support Theory-Y type programs, yet thinking and behaving in accordance with Theory X assumptions, might likely generate Theory X results. The paradigmatic error would result from using Theory X behavior in an environment which called for Theory Y behavior.

8. The Brown and Ladawan (1979) study is an example of where Theory X and Theory Y assumptions of both managers and subordinates were measured.

APPENDIX A

THE MANAGERIAL PHILOSOPHIES SCALE:
COPIES OF BOTH SIDES OF THE FRONT COVER,
PLUS TWO SAMPLE ITEMS*

*This appendix format is required by the publisher of the Managerial Philosophies Scale (MPS); the MPS is copyrighted, and thus cannot be presented in its entirety. Because the special graphics, color, and print sizes of the front cover will not photocopy well here, the content of both sides of the front cover is simply typed.

(front cover)

MANAGERIAL PHILOSOPHIES SCALE

By

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Our Product is Achievement

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(back side of front cover)

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Managerial Philosophies Scale

I Agree				I Disagree			
On The Whole				On The Whole			
A Little				A Little			
Uncertain				Uncertain			
Very Much				Very Much			
+3				?			
+2				-1			
+1				-2			
				-3			

2. The best way for a manager to get things done is to use personal authority to direct people.

+3	+2	+1	?	-1	-2	-3
----	----	----	---	----	----	----

6. Most employees are capable of exercising a certain amount of autonomy and independence on the job.

+3	+2	+1	?	-1	-2	-3
----	----	----	---	----	----	----

(Item 2 is a Theory X item;
Item 6 is a Theory Y item).

APPENDIX B

THE QUESTIONNAIRE FOR SUPERVISORS

Interoffice Communication

From: (Director's name)

Date: July 20, 1987

Subject: Questionnaire; completion and mailing of questionnaire is requested to be done within two working days from the time you receive the questionnaire

The attached questionnaire that you are asked to fill out is part of a study directed by Richard N. Logozzo from the University of Massachusetts. The purpose of the study is, in the broadest sense, to help learn about factors that may allow work to be most satisfying and productive. Responding to the questionnaire will not take much time. Completing the questionnaire, though voluntary, is strongly encouraged and appreciated. No additional requests will be made of you. Please complete the questionnaire and mail it within two working days from the time you receive it; if you are out of the office or on vacation when the questionnaire is delivered, please complete the questionnaire within two days of your return to the office. If you are delayed in completing the questionnaire for any reason, please complete it at your earliest opportunity.

Certain groups at (Company X) have been randomly selected to represent the company in the study. The study will involve people from different levels and different parts of the organization, so it will take a period of time to collect all information.

If this study is to be helpful, it is important that you answer each question as thoughtfully and frankly as possible. This is not a test. The important thing is that you answer the questions the way you see things or the way you feel about them.

Completed questionnaires will be taken by the researcher to the University of Massachusetts for tabulation and analysis. None of the questionnaires, once they are filled out, will ever be seen by anyone at (Company X). Findings of the analysis will be reported statistically and in a manner so that no individual can be identified. A summary form of the final research report will be made available to you.

Thank you for your cooperation in this study.

(Director's name)

Director, Field Administration
Employee Benefits Division

(This page appeared on letterhead stationery for the School of Management, University of Massachusetts, Amherst, MA 01003)

(Questionnaire code number)

The questionnaire code number on the upper right side of this page is used to keep your responses confidential and allows your questionnaire to be grouped with the questionnaires of other people in your work group. Since the questionnaire code number above has been assigned to you, please do not switch your questionnaire with anyone else. Since we are not interested in identifying individuals by name, please do not put your name on the questionnaire. Please do not separate any of the stapled pages.

When you respond to the questionnaire:

1. If you do not find the exact answer that fits your case, mark the answer that comes closest.
2. Please respond to the items or questions in order.
3. Please do not discuss the questionnaire with other people at (Company X), since such discussion may influence other people's responses if they also receive a questionnaire.
4. Remember, the answers you give will be completely confidential. The value of the study depends upon your being as candid as you can be in answering the questionnaire.
5. When you are finished with the questionnaire, please place it in the attached envelope which is already stamped and addressed; seal the envelope and mail it promptly.

Thank you very much. Please go on now to the next page.

Richard N. Logozzo
University of Massachusetts

The Managerial Philosophies Scale (see Appendix A) appeared here in the supervisors' questionnaire; supervisors were not to self-score the scale.

Your age: 16-19____ 20-24____ 25-29____ 30-34____
35-39____ 40-44____ 45-49____ 50-54____
55-59____ 60-64____ 65-69____ 70+____

Sex: Male____ Female____

Level of Education (please check only one category):

High school or less____
Some college____
College graduate____
Post-graduate degree____

How many years have you been with this company?_____
(If you have been with this company less than 1 year, please
indicate how many months you have been with this company_____)

For how many years has your present immediate supervisor been your
supervisor?_____ (If you have been with your present
supervisor for less than 1 year, please indicate how many months
you have been with your present supervisor_____)

You have reached the end of the
questionnaire. Please check to make
sure you have not overlooked any
page or any question.

Please place the questionnaire in
the attached envelope which is
already stamped and addressed; seal
the envelope and mail it promptly.
Thank you.

APPENDIX C

THE QUESTIONNAIRE FOR SUBORDINATES

Interoffice Communication

From: (Director's name)

Date: July 20, 1987

Subject: Questionnaire; completion and mailing of questionnaire is requested to be done within two working days from the time you receive the questionnaire

The attached questionnaire that you are asked to fill out is part of a study directed by Richard N. Logozzo from the University of Massachusetts. The purpose of the study is, in the broadest sense, to help learn about factors that may allow work to be most satisfying and productive. Responding to the questionnaire will not take much time. Completing the questionnaire, though voluntary, is strongly encouraged and appreciated. No additional requests will be made of you. Please complete the questionnaire and mail it within two working days from the time you receive it; if you are out of the office or on vacation when the questionnaire is delivered, please complete the questionnaire within two days of your return to the office. If you are delayed in completing the questionnaire for any reason, please complete it at your earliest opportunity.

Certain groups at (Company X) have been randomly selected to represent the company in the study. The study will involve people from different levels and different parts of the organization, so it will take a period of time to collect all information.

If this study is to be helpful, it is important that you answer each question as thoughtfully and frankly as possible. This is not a test. The important thing is that you answer the questions the way you see things or the way you feel about them.

Completed questionnaires will be taken by the researcher to the University of Massachusetts for tabulation and analysis. None of the questionnaires, once they are filled out, will ever be seen by anyone at (Company X). Findings of the analysis will be reported statistically and in a manner so that no individual can be identified. A summary form of the final research report will be made available to you.

Thank you for your cooperation in this study.

(Director's name)

Director, Field Administration

Employee Benefits Division

(This page appeared on letterhead stationery for the School of Management, University of Massachusetts, Amherst, MA 01003)

(Questionnaire code number)

The questionnaire code number on the upper right side of this page is used to keep your responses confidential and allows your questionnaire to be grouped with the questionnaires of other people in your work group. Since the questionnaire code number above has been assigned to you, please do not switch your questionnaire with anyone else. Since we are not interested in identifying individuals by name, please do not put your name on the questionnaire. Please do not separate any of the stapled pages.

When you respond to the questionnaire:

1. If you do not find the exact answer that fits your case, mark the answer that comes closest.
2. Please respond to the items or questions in order.
3. Please do not discuss the questionnaire with other people at (Company X), since such discussion may influence other people's responses if they also receive a questionnaire.
4. Remember, the answers you give will be completely confidential. The value of the study depends upon your being as candid as you can be in answering the questionnaire.
5. When you are finished with the questionnaire, please place it in the attached envelope which is already stamped and addressed; seal the envelope and mail it promptly.

Thank you very much. Please go on now to the next page.

Richard N. Logozzo
University of Massachusetts

On this page, four questions appear on the left-hand side of the page. The questions refer to your immediate supervisor here at work. Response choices appear on the right-hand side of the page. Read each question, then simply circle the appropriate value (in the space provided) which represents your response to that question (only one response per question, please). A SAMPLE RESPONSE would look like this: 1 2 3 4. There are no intermediate responses--that is, do not place your circle between the numbers.

	This is very unlikely	This is somewhat unlikely	This is somewhat likely	This is very likely
1) When your supervisor is trying to make a decision about a new idea, how likely is he/she to ask you for advice?.....	1	2	3	4
2) If your supervisor consults you for advice, what is the probability that he/she will seriously consider the opinion obtained from you?.....	1	2	3	4
	This is very uncommon	This is somewhat uncommon	This is somewhat common	This is very common
3) When you come to your supervisor with a new idea about how to do something, how common is it that the idea will be tested?.....	1	2	3	4
4) How common is it that goals about the amount of work to be done are set jointly by you and your supervisor?.....	1	2	3	4

(Please go on to the next page)

On this page and on the next page, we look at what it means to you to be a member of this work organization. Some people may feel themselves to be just an employee, here to do a job of work, while others may feel more personally involved in the organization. The following nine statements (which appear on the left-hand side of this page and the next page) express what people might feel about themselves as members of their work organization. Response choices appear on the right-hand side of the pages. Read each statement, then simply circle the appropriate value (in the space provided) which represents the degree of your personal disagreement or agreement with the statement (only one response per statement, please).

A SAMPLE RESPONSE would look like this: 1 2 3 4 5 6 7.
There are no intermediate responses--that is, do not place your circle between the numbers.

	I disagree strongly	I disagree moderately	I disagree just a little	I'm not sure	I agree just a little	I agree moderately	I agree strongly
1) I am quite proud to be able to tell people which company it is I work for.....	1	2	3	4	5	6	7
2) I sometimes feel like leaving this company for good.....	1	2	3	4	5	6	7
3) I'm not willing to put myself out just to help this company.....	1	2	3	4	5	6	7
4) Even if this company were not doing too well financially, I would be reluctant to change to another employer.....	1	2	3	4	5	6	7

(Please go on to the next page)

	I disagree strongly	I disagree moderately	I disagree just a little	I'm not sure	I agree just a little	I agree moderately	I agree strongly
5) I feel myself to be part of this company.....	1	2	3	4	5	6	7
6) In my work I like to feel I am making some effort, not just for myself but for this company as well.....	1	2	3	4	5	6	7
7) The offer of a bit more money with another employer would not seriously make me think of changing my job.....	1	2	3	4	5	6	7
8) I would not recommend a close friend to join this company.....	1	2	3	4	5	6	7
9) To know that my own work had made a contribution to the good of this company would please me.....	1	2	3	4	5	6	7

(Please go on to the next page)

Your age: 16-19____ 20-24____ 25-29____ 30-34____
35-39____ 40-44____ 45-49____ 50-54____
55-59____ 60-64____ 65-69____ 70+____

Sex: Male____ Female____

Level of Education (please check only one category):

High school or less____
Some college____
College graduate____
Post-graduate degree____

How many years have you been with this company?_____
(If you have been with this company less than 1 year, please
indicate how many months you have been with this company_____)

For how many years has your present immediate supervisor been your
supervisor?_____ (If you have been with your present
supervisor for less than 1 year, please indicate how many months
you have been with your present supervisor_____)

You have reached the end of the
questionnaire. Please check to make
sure you have not overlooked any
page or any question.

Please place the questionnaire in
the attached envelope which is
already stamped and addressed; seal
the envelope and mail it promptly.
Thank you.

APPENDIX D

BRIEF RESEARCH PROSPECTUS
PRESENTED TO THE CONTACT PERSON AT COMPANY X

CONFIDENTIAL

Research Project and Ph.D. Dissertation
Richard Logozzo
University of Massachusetts

TITLE:

THE RELATIONSHIP OF MANAGERS' THEORY X AND THEORY Y ASSUMPTIONS TO
MANAGERIAL PARTICIPATIVE BEHAVIOR, EMPLOYEE COMMITMENT, AND
EMPLOYEE ABSENTEEISM.

PURPOSE OF THE STUDY:

The goal of the study is to add new evidence to the small amount of existing evidence which implicates managerial assumptions in organizational outcomes (organizational outcomes are performance and employee attitudes).

RELEVANCE OF THE STUDY:

Organizational change efforts may be impeded by giving much attention to structural changes in the organization without recognizing the role of managers' assumptions about how people should be managed. For example, it is conceivable that the structure known as quality circles may be implemented where the managers who actually have to work with the quality circles do not believe in the value of accepting input from employees. Similar concerns can be expressed about job enrichment, work teams, or any other employee participation program: The managers involved may not operate from assumptions appropriate to the employee participation program, and the managers may not sincerely support such programs.

THE NATURE OF THE STUDY:

This study will examine a serial link of variables which was posited by management theorist Douglas McGregor (please see Figure D.1 on the next page). Very briefly, the study hypothesizes that Theory X assumptions (e.g., workers do not wish to be responsible and must always be very closely supervised) on the part of managers will be associated negatively with employees' organizational commitment and employees' attendance, whereas Theory Y assumptions

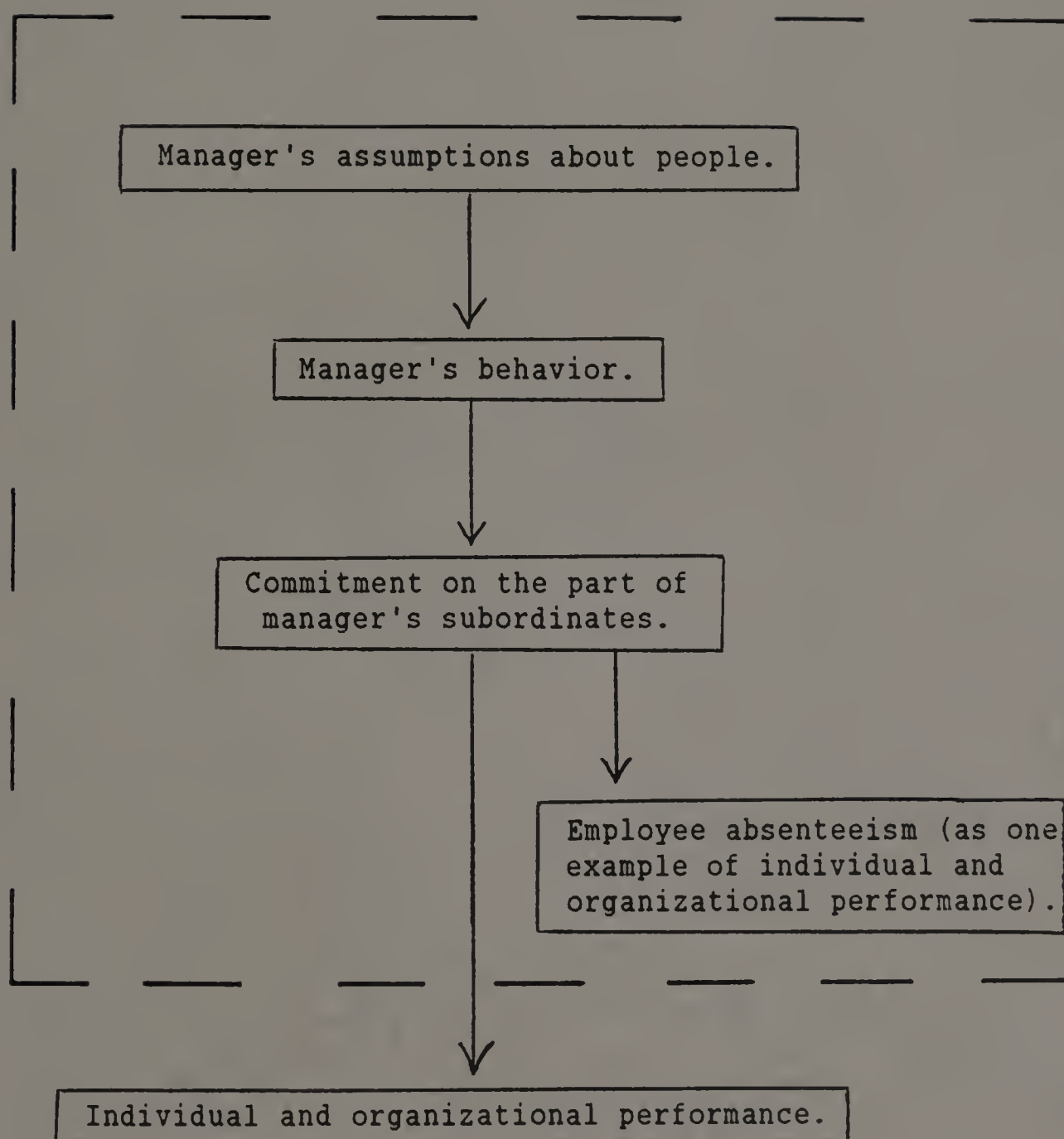


Figure D.1. McGregor's serial linkage of several variables. Encapsulated variables represent the focus of the present study. (Schematic is based on: McGregor, D. [1967]. The professional manager. New York: McGraw-Hill Book Company.)

(e.g., workers are responsible and can be self-controlling) on the part of managers will be associated positively with employees' organizational commitment and employees' attendance.

WHAT IS NEEDED FROM A COOPERATING ORGANIZATION:

1) Each of 25-30 managers (first-line supervisors) would fill out one questionnaire about managerial assumptions (approx. 12 minutes for each manager).

2) Subordinates of the above managers would fill out 2 short questionnaires, one questionnaire about their manager's participative behavior and one questionnaire about their own organizational commitment (approx. 5 minutes total each person).

3) From archives, an absenteeism rate is needed for the past year for each person in step 2 above.

For research design reasons, ideally all people in the study would be involved in the same type of work, but this request may be flexible.

WHY AN ORGANIZATION SHOULD WANT TO PARTICIPATE IN THIS STUDY:

This study is original, is carefully planned, is designed to take a minimum amount of participants' time, and should generate data that will be useful in understanding the role and importance of assumptions that managers make about the people they manage. Understanding the role and importance of managerial assumptions seems essential, as managerial assumptions may have impacts on an organization's performance and on an organization's success with new programs.

APPENDIX E

LETTER TO THE FOUR OFFICE MANAGERS
FROM THE DIRECTOR
REQUESTING ASSISTANCE WITH THE RESEARCH

(This letter appeared on the Director's letterhead stationery)

July 1, 1987

(Office Manager's name and address)

Dear (Office Manager's name),

(Company X) is participating in research directed by Richard N. Logozzo from the University of Massachusetts. The purpose of the study is, in the broadest sense, to help learn about factors that may allow work to be most satisfying and productive. The study will involve people from different levels and different parts of the company.

Certain groups at (Company X) have been randomly selected to represent the company in the study; the (#) Supervisors--and their subordinates--in your office have been selected. The study is designed to take an absolute minimal amount of participants' time: The Supervisors and their subordinates will fill out very brief questionnaires (approximately 12 minutes required for each Supervisor, 5 minutes for each subordinate) which will be mailed by the respondents directly back to the researcher. Also, one person in your office, preferably the Personnel Coordinator, will need to be appointed by you to serve as a contact person for Richard Logozzo; this contact person will be providing Richard with certain indexes of employee absenteeism, Weighted Resolved Claims, Statistical Accuracy, and Payment Incidents Accuracy.

Questionnaire responses will be treated as confidential by the researcher. At the point in time when completed questionnaires are mailed back to the researcher, each questionnaire will contain a confidential code number rather than the respondent's name. Completed questionnaires will never be seen by anyone at (Company X). Data analysis will occur by the researcher at the University of Massachusetts. Findings of the analysis will be reported statistically and in a manner so that no individual can be identified. A summary form of the final research report will be made available to you.

PLEASE DO THE FOLLOWING:

1) On the attached sheet write the name, title, and telephone number of the person who will act as the contact person for Richard Logozzo. Place this sheet in the attached mailing envelope, but do not mail the envelope yet.

2) Please share this letter with the contact person you appoint.

3) Have the appointed contact person include in the same attached envelope a list of the names of the Supervisors in your office and the names of their corresponding subordinates (the researcher must know which subordinates report to which Supervisor); please have the attached envelope mailed within one week.

In the near future, you will receive the questionnaires; since they will be fully prepared and self explanatory to the respondent, we need your help only in getting the questionnaires delivered. We expect to give you some time latitude for the distribution so that your office operations will not be disrupted. The questionnaires will indicate to the people filling them out that completion of the questionnaire, though voluntary, is strongly encouraged and appreciated.

Thank you for your cooperation. If you have any questions, please give me a call.

Sincerely,

(Director's name)

:rl

P.S. In accordance with standard research procedures, we ask you and the appointed contact person not to discuss the project with other people in the office or company, as such discussion may influence how people respond to the questionnaires. Thank you.

APPENDIX F

LETTER TO PERSONNEL COORDINATORS
GIVING INSTRUCTIONS FOR QUESTIONNAIRE DISTRIBUTION

(Research Project 7K)
% Richard N. Logozzo
(researcher's address and
telephone)

July 20, 1987

(Personnel Coordinator's
name and address)

Dear (Personnel Coordinator's name):

Enclosed you will find the questionnaires (for Claim Processors and their Supervisors) which are part of the University of Massachusetts research study which was described initially in the July 1 letter written from (Director's name) to (Office Manager's name).

The questionnaires are fully prepared, self-explanatory to the repondents, can be completed in a very brief time, and will be returned by mail directly from each respondent to the researcher. Each respondent can complete the questionnaire privately at his or her desk.

Each questionnaire is in a sealed envelope with a delivery tag on the front of the envelope. Please deliver all the sealed envelopes within three (3) working days from the time you receive them. Please deliver them directly to each person if possible or to recipients' mailboxes if that is more practical. Since Supervisors are actually participating in the study, it would be best if Supervisors are not involved in the distribution of the envelopes.

In order to keep you as informed as possible, the cover letters which accompany each questionnaire are attached to this letter so that you may read those cover letters.

A research study such as this one may generate curiosity. A summary of the final research report, which will be made available to you and to all participants in the study, should answer questions such as "what are this study and this questionnaire all about?" It would be premature to try to provide you and all the

respondents with such information now.

If there should be anything with which I can assist you, please call me. Thank you for your continuing cooperation.

Sincerely,

Richard N. Logozzo

cc: (Office Manager's name)
(Director's name)

APPENDIX G

LETTER AND DATA-GATHERING FORM
SENT TO PERSONNEL COORDINATORS
REQUESTING ABSENTEEISM DATA

(Research Project 7K)
% Richard N. Logozzo
(researcher's address and
telephone)
August 17, 1987

(Personnel Coordinator's
name and address)

Dear (Personnel Coordinator's name):

Enclosed are the formats for obtaining certain indexes which are needed to complete our research project. I have tried to make the formats and instructions as simple as possible. The instructions for figuring the particular absenteeism index we want may seem daunting at first, but I think that you will find after a second or third reading of the instructions that figuring the absenteeism index is a straightforward, mechanical process; the directions for figuring the absenteeism index do need to be followed absolutely precisely. I will check with you by phone to see if the instructions are clear, and I stand ready at all times to answer any questions. I will also check with you by phone to see what kind of time frame you think you will need to provide the requested information.

A self-addressed, stamped envelope is provided for returning the requested information.

Again, in accordance with standard research procedures, you and your assistants should treat the requested material as confidential.

Thank you for your continuing assistance.

Sincerely,

Richard N. Logozzo
University of Massachusetts

For all people on the attached list of names, please put the person's present position grade of claim processor (22, 23, 24, 25) to the left of their name (this will have to be written just to the left of the person's research code number which has now been blocked out). If a person has moved on to another type of position or is no longer with the company, put the grade of claim processor which the person held in late July, 1987.

ABSENTEEISM INDEX

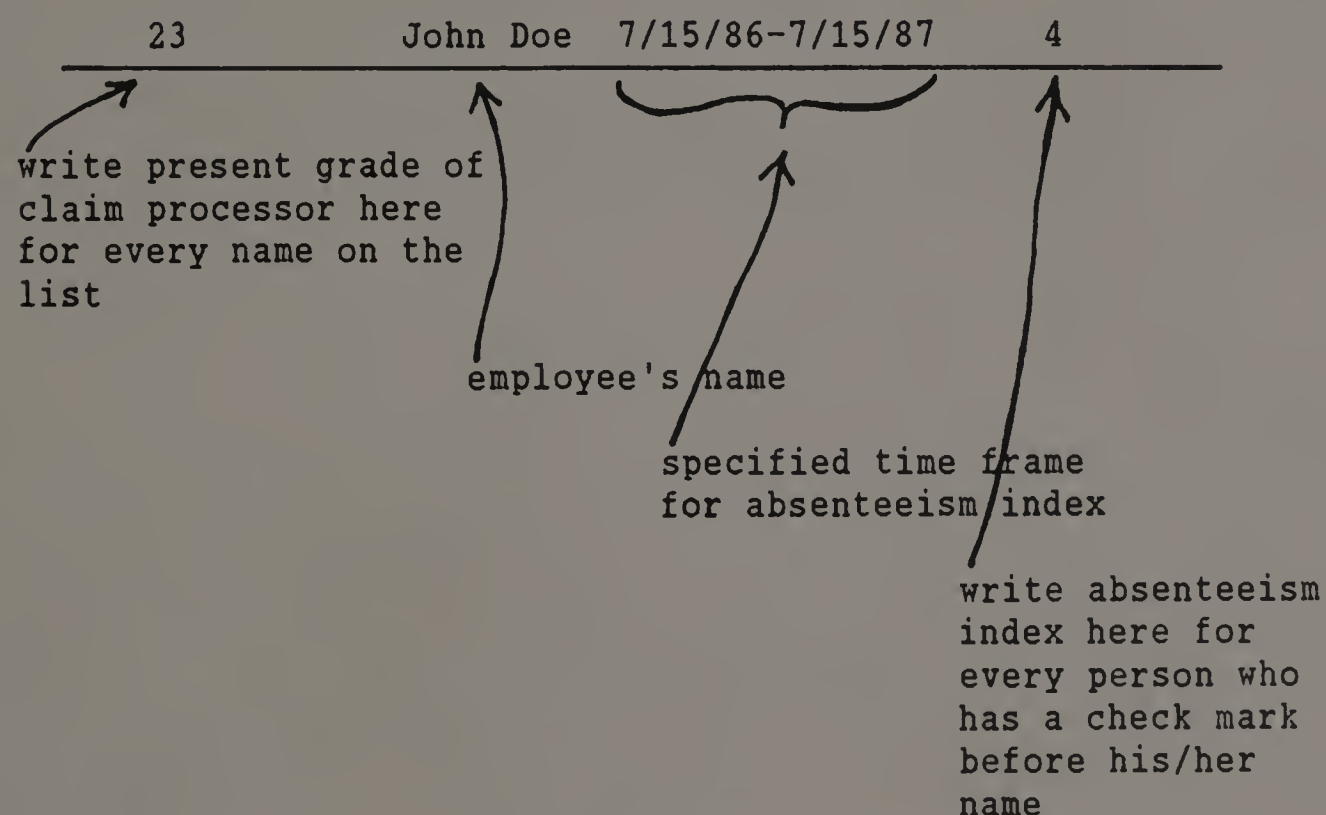
An absenteeism index will now be given to each person on the attached list of names who has a check mark (✓) before his/her name; any name without a check mark may be disregarded with respect to the absenteeism index.

For each name with a check mark, please do the following:

- 1) Get the person's "Attendance Record" card.
- 2) Look only at the "Illness" section of the card; completely disregard "Other Absence" and "Vacation and Disc. Holidays" sections of the card.
- 3) Note the period of time which follows the name on the attached list (you must check the period of time for each person, as a specific time frame is specifically assigned to each person; that is, a time frame which is used for one person is not necessarily the same time frame which is used for another person).
- 4) For the time frame specified and in the "Illness" section of the Attendance Record, count the number of inceptions of absenteeism occurrences without regard to the duration of each absenteeism occurrence (the length any absenteeism period does not enter our calculation). For example, if John Doe shows on the "Illness" section of his Attendance Record a 1-day absence, a 5-day absence, a 1-day absence, and then a 2-day absence in his specified time frame of 7/15/86-7/15/87, then John Doe's absenteeism index is "4" because he had 4 inceptions of absenteeism periods. Another example: If Jane Doe has a 1-day absence and a 2-day absence on her "Illness" section for her specified time frame, then her absenteeism index is "2" because she had two inceptions of absenteeism occurrences. If Jane Doe showed no absences on her "Illness" section for her specified time frame, then her absenteeism index is "0" because she had no inceptions of an absenteeism occurrence. Please write the absenteeism index to the right of each person's specified time frame on the attached list.

5) Clarifications: Do not count at all any absence occurrence which is shorter than one day. Do not count an absenteeism occurrence which is already in progress at the beginning of a person's specified time period, as the inception of that occurrence fell before the time frame. Do count an absence occurrence which extends beyond the end of a person's specified time frame, as the inception of that absenteeism occurrence fell during the specified time frame.

6) So here is how your responses should look like on the attached sheets:



7) Please provide the requested absenteeism index even if the person has moved on to another type of position or is no longer with the company.

8) If you have questions about these instructions, please call Richard Logozzo from the University of Massachusetts at (researcher's phone). Thank you.

APPENDIX H

THANK-YOU LETTER TO OFFICE MANAGERS

(Research Project 7K)
% Richard N. Logozzo
(researcher's address)

September 29, 1987

(Office Manager's
name and address)

Dear (Office Manager's name):

This letter is to inform you that the data collection related to our research study is now completed (this research study was first described to you in the July 1, 1987 letter from [Director's name]). With the support and assistance from you and from (Personnel Coordinator's name), data collection went very smoothly. I extend sincere appreciation.

When the data analysis has been completed, a summary of the findings will be forwarded to you. The data analysis will likely take at least several months.

Thank you again.

Sincerely,

Richard N. Logozzo
University of Massachusetts

APPENDIX I

THANK-YOU LETTER TO PERSONNEL COORDINATORS

(Research Project 7K)
% Richard N. Logozzo
(researcher's address)

September 29, 1987

(Personnel Coordinator's
name and address)

Dear (Personnel Coordinator's name):

This letter is to inform you that the data collection related to our research study is now completed. I thank you for your support, assistance, and patience during the data collection.

When the analysis of the data has been completed, a summary of the findings will be forwarded to you. The data analysis will likely take at least several months.

Thank you again.

Sincerely,

Richard N. Logozzo
University of Massachusetts

APPENDIX J

RESPONSE RATE FOR EACH SUPERVISOR'S GROUP
OF CLAIM PROCESSORS

<u>Supervisor</u>	<u>Response rate for group</u>
1	44%
2	54%
3	78%
4	56%
5	64%
6	75%
7	71%
8	82%
9	47%
10	89%
11	75%
12	78%
13	54%
14	77%
15	67%
16	87%
17	84%
18	67%
19	80%
20	72%
21	64%
22	91%
23	60%
24	67%
25	77%
26	82%
27	58%
28	58%

APPENDIX K

THEORY X AND THEORY Y RAW SCORES FOR SUPERVISORS

Theory X and Theory Y raw scores for supervisors with Theory X scores presented in descending order:

<u>Supervisor number</u> <u>(numbers 1-28)</u>	<u>Theory X</u> <u>score</u>	<u>Theory Y</u> <u>score</u>
19	124.00	65.00
9	124.00	49.00
6	116.00	68.00
20	113.00	52.00
8	95.00	59.00
4	95.00	69.00
21	94.00	67.00
18	94.00	52.00
14	94.00	67.00
7	92.00	71.00
26	90.00	64.00
16	84.00	63.00
28	83.00	55.00
27	82.00	65.00
23	82.00	65.00
1	79.00	68.00
25	77.00	68.00
22	77.00	69.00
17	77.00	56.00
10	77.00	61.00
2	74.00	75.00
13	73.00	72.00
5	69.00	79.00
11	63.00	64.00
12	62.00	68.00
15	59.00	69.00
24	58.00	71.00
3	54.00	75.00

APPENDIX L
GROUP SCORES FOR EACH SUPERVISOR

Group scores for each supervisor: Participative decision making (PDM), organizational commitment (OC), and absenteeism (ABS) raw scores for subordinates converted to an average-per-supervisor (APS) basis, presented along with supervisors' Theory X and Theory Y raw scores (Theory X scores are presented in descending order here).

Supervisor number (numbers 1-28)	Theory X score	Theory Y score	PDMAPS	OCAPS	ABSAPS
19	124.00	65.00	12.50	36.50	3.00
9	124.00	49.00	10.57	31.86	1.00
6	116.00	68.00	11.17	33.67	1.00
20	113.00	52.00	10.23	26.23	1.62
8	95.00	59.00	12.44	36.56	2.67
4	95.00	69.00	11.80	35.80	.80
21	94.00	67.00	9.29	35.43	1.00
18	94.00	52.00	11.00	31.88	1.75
14	94.00	67.00	11.20	35.00	1.30
7	92.00	71.00	9.60	38.00	1.60
26	90.00	64.00	7.89	32.11	2.89
16	84.00	63.00	13.00	36.54	3.31
28	83.00	55.00	11.86	37.43	5.00
27	82.00	65.00	11.14	35.14	2.86
23	82.00	65.00	13.50	37.17	4.17
1	79.00	68.00	11.75	34.50	1.75
25	77.00	68.00	13.50	38.10	2.30
22	77.00	69.00	12.30	36.70	3.60
17	77.00	56.00	12.19	36.31	3.50
10	77.00	61.00	12.75	36.75	2.50
2	74.00	75.00	8.29	35.29	1.00
13	73.00	72.00	12.00	32.71	1.43
5	69.00	79.00	11.00	35.43	3.00
11	63.00	64.00	12.00	29.56	2.11
12	62.00	68.00	8.00	32.43	1.71
15	59.00	69.00	11.63	33.75	3.38
24	58.00	71.00	7.25	30.25	2.00
3	54.00	75.00	9.50	37.00	1.83

APPENDIX M

EFFECT OF SUBORDINATES' POSITION GRADE LEVEL

The position of "claim processor" in Company X contains four position grade levels (grades 22, 23, 24, and 25, which are described in the Chapter 3 section titled "The claim processor's job description"). The researcher became aware of the existence of position grade levels after receiving permission to study the claim processors but before the questionnaires were distributed. The researcher had no expectations that there would be an effect due to position grade; however, the researcher asked the personnel coordinators to provide him with the position grade of each subordinate so that the information would at least be available.

Since there were no a priori expectations regarding position grade, the testing for a possible effect due to position grade was performed for completeness and in an exploratory framework. As was the case in the main body of this paper, α has been set a priori at .05 for the purposes of statistical testing.

Multivariate analysis of variance (MANOVA; see Hair et al., 1984) was used to test whether mean responses on participative decision making (PDM), organizational commitment (OC), and absenteeism (ABS) raw scores for subordinates differed by the 4 grade levels of position. Wilk's Lambda multivariate test statistic, reported in Table M.1 (part a) indicated that there was a difference by position grade on at least 1 of the 3 variables of PDM, OC, and ABS. In order to isolate the source(s) of the overall difference by position grade, it was necessary to disaggregate the

TABLE M.1

Summary Results for Testing Effects of Position Grade
on PDM, OC, and ABS Raw Scores for Subordinates; n=219

a. Multivariate test.

<u>Test name</u>	<u>Value</u>	<u>Approximate F</u>	<u>df</u>	<u>p</u>
Wilk's Lambda	.888	2.883	(9, 518.54)	.002

b. Follow-up univariate F-tests.

<u>Variable</u>	<u>F</u>	<u>df</u>	<u>p</u>
PDM	1.925	(3, 215)	.127
OC	4.719	(3, 215)	.003
ABS	3.400	(3, 215)	.019

3 variables and run univariate F-tests. As Table M.1 (part b) indicates, the variables OC and ABS were the variables responsible for the apparent overall difference by position grade.

A Scheffé procedure was used to determine, via pairwise comparisons, which position grades differed on the OC variable and which position grades differed on the ABS variable. Cell means and pairwise comparisons between position grades appear in Table M.2 for the OC variable and in Table M.3 for the ABS variable. Table M.2 indicates that grade 22 had the highest mean value of OC followed by grades 24, 25, and 23; also, the overall mean response difference on OC by position was due solely to grade 22 vs. grade 23. Table M.3 indicates that grade 22 had the highest mean value of ABS, followed by grades 24, 25, and 23; also, the overall mean response difference on ABS by position was due solely to grade 22 vs. grade 23. Grade 22 thus had the highest OC and ABS scores and grade 23 had the lowest OC and ABS scores.

Since grade 22 had the highest OC and ABS scores, it seemed possible that this group had an inordinate role in driving the positive (rather than the expected negative) correlation between OCAPS and ABSAPS. Rerunning the Pearson correlation matrix of Chapter 4's Table 4.6 (with variables first converted to an average-per-supervisor basis without grade 22) resulted in the same correlational signs and the same relationships being significant.

TABLE M.2

Cell Means and Pairwise Comparisons:
Subordinate OC Scores Grouped on Position Grade Level

a. Within-group cell means for OC.

<u>Group</u>	<u>n</u>	<u>Mean</u>	<u>Standard deviation</u>
Grade 22	75	36.49	4.23
Grade 23	61	32.59	7.11
Grade 24	58	34.22	6.87
Grade 25	25	33.56	7.23
Aggregate	219	34.47	6.37

b. Follow-up Scheffé tests:

Pairwise comparisons--on OC--between position grades.

		22	24	25	23
<u>Mean</u>	<u>Group</u>				
36.49	Grade 22				*
34.22	Grade 24				
33.56	Grade 25				
32.59	Grade 23				

*Denotes pairs of groups which differ significantly
at the .05 level.

TABLE M.3

Cell Means and Pairwise Comparisons:
Subordinate ABS Scores Grouped on Position Grade Level

a. Within-group cell means for ABS.

<u>Group</u>	<u>n</u>	<u>Mean</u>	<u>Standard deviation</u>
Grade 22	75	3.00	2.69
Grade 23	61	1.87	1.67
Grade 24	58	2.31	2.14
Grade 25	25	1.96	1.84
Aggregate	219	2.38	2.24

b. Follow-up Scheffé tests:

Pairwise comparisons--on ABS--between position grades.

		22	24	25	23
<u>Mean</u>	<u>Group</u>				
3.00	Grade 22				*
2.31	Grade 24				
1.96	Grade 25				
1.87	Grade 23				

*Denotes pairs of groups which differ significantly
at the .05 level.

The removal of grade 22 did not seem to add explanatory information to the earlier analysis.

Though position grade did not affect the main results of this study, the reader is alerted to bear in mind that in a future study of a different design, position grade might be a potentially important variable at least with regard to organizational commitment and absenteeism.

APPENDIX N

ADDITIONAL PERFORMANCE MEASURES

Indexes which involved work performance, i.e., productivity and quality, were collected at the request of the director of the claim department. The full description and analysis of these indexes is beyond the scope of this paper. However, partial analysis of these indexes was useful in offering evidence that employee absenteeism is possibly associated with reduced work performance. The information presented is tentative and exploratory only: The researcher was not able to verify for certain that each index type was calculated comparably across offices and across time (calculation formulas are modified from time to time). Also, the indexes collected--though they involve the same supervisors who were involved in the main portion of this study--are based on the work output of supervisors' entire group of claim processors, not just the work output of claim processors who responded to this study's questionnaires. Thus, even within each supervisor's group, there is not an exact correspondence between the source of the variables discussed in the body of this paper (PDMAPS, OCAPS, and ABSAPS) and the source of the work performance measures described in this appendix.

Briefly, Weighted Resolved Claims (WRC) is a productivity measure, while Statistical Accuracy (SA) and Payment Incidents Accuracy (PIA) are performance quality measures. WRC, SA, and PIA are calculated monthly in Company X for each supervisor based on the output of each supervisor's group of claim processors. WRC,

derived by assigning relative weights to different types of claims, was available in complete form for 23 of the 28 supervisors in this study. SA, which indicates correctness of coding involved in a claim, and PIA, which reflects accuracy in claim payments, were available in complete form for 27 supervisors.

From the respective personnel coordinators, the researcher requested the indexes for the 12 months from July, 1986 through June, 1987. This time frame covered, as it had for absenteeism, the year previous to the point when questionnaires were administered. WRC was available for the 12 months, but SA and PIA were restricted later by the researcher to the 5-month period from February, 1987 through June, 1987 to avoid confounding calculation methods. An average WRC index was generated for each supervisor using his/her 12 monthly WRC scores, and average SA and PIA indexes were likewise generated using his/her 5 monthly scores. WRC, SA, and PIA will henceforth refer to the indexes in this average-per-supervisor form.

Lists of supervisors' WRC, SA, and PIA scores will not be presented as the indexes are reserved for internal company use. However, it is possible to present a table of Pearson correlation values among the variables THX, THY, PDMAPS, OCAPS, ABSAPS (all defined in Chapter 3) and WRC, SA, and PIA. The correlations appear in Table N.1; values presented in Table 4.6 in Chapter 4 were not duplicated here.

TABLE N.1
Pearson Correlations Between Key Variables

	<u>WRC</u>	<u>SA</u>	<u>PIA</u>
THX	.03 (23)	.16 (27)	.11 (27)
THY	.17 (23)	-.04 (27)	.10 (27)
PDMAPS	-.09 (23)	.04 (27)	-.27 (27)
OCAPS	-.33(a) (23)	-.27 (27)	-.08 (27)
ABSAPS	-.34* (23)	-.50** (27)	.11 (27)
WRC	1.00 (23)		
SA	.45* (23)	1.00 (27)	
PIA	-.24 (23)	-.20 (27)	1.00 (27)

Note.--Number of cases appears in parentheses; p values are for 1-tailed significance.

a. This correlation, of marginal significance ($p=.06$) under a 1-tailed test, was retested under 2-tailed conditions because the obtained sign of the relationship was opposite to prediction. The correlation was not significant under a 2-tailed test.

* $p<.05$.

** $p<.01$.

Significant correlations were found between WRC and ABSAPS, between SA and ABSAPS, and between WRC and SA.

The correlations involving ABSAPS offer evidence that subordinate absenteeism is possibly associated with lower work productivity and quality. A more definitive statement about the relationship between absenteeism and work performance cannot be made: As was mentioned in the beginning of this appendix, there was not, even within each supervisor's group, an exact correspondence of subordinates on whom absenteeism was reported and on whom performance was reported. More comments on the issue of absenteeism and work performance appear in the text of Chapter 5.

APPENDIX O

SUMMARY REPORT FOR PARTICIPANTS AT COMPANY X

SUMMARY REPORT OF RESEARCH CONDUCTED IN THE
CLAIM DEPARTMENT IN JULY, 1987

WHO CONDUCTED THE STUDY:

The study was designed and executed as a dissertation by Richard Logozzo, a Ph.D. candidate in the School of Management at the University of Massachusetts, under the supervision of four professors. The director of the claim department allowed the researcher to solicit voluntary responses from claim processors and their supervisors.

WHY THE STUDY WAS DONE:

The academic community routinely does research to add to the body of theoretical and practical information. After a research project is designed, the researcher approaches an organization for permission to collect data.

IF SOME OF YOU WERE CONCERNED THAT SOME SORT OF PERSONAL EVALUATION WAS GOING ON:

Scholarly research was the sole purpose of the study. All responses were confidential to the researcher. All results are in summary form so that no particular individual will ever be identified.

THE TITLE OF THE STUDY:

THE RELATIONSHIP OF MANAGERS' THEORY X AND THEORY Y ASSUMPTIONS TO MANAGERIAL PARTICIPATIVE BEHAVIOR, EMPLOYEE COMMITMENT, AND EMPLOYEE ABSENTEEISM.

THE SPECIFIC PURPOSE OF THE STUDY:

The goal of the study was to determine if managers' assumptions about workers are related to organizational outcomes (organizational outcomes are employee attitudes and performance).

WHY THE STUDY IS IMPORTANT:

How managers think about and behave toward employees may affect employees' attitudes and performance at work.

THE SPECIFIC NATURE OF THE STUDY:

This study examined a causal model of variables which was posited by management theorist Douglas McGregor (see the model of variables in Figure 0.1 on the next page). McGregor attempted to categorize some of the assumptions which managers make into Theory X (generally, this is where managers tend to think that employees do not wish to be responsible and must always be closely supervised) and Theory Y (generally, this is where managers tend to think that workers are responsible and can be self-controlling).

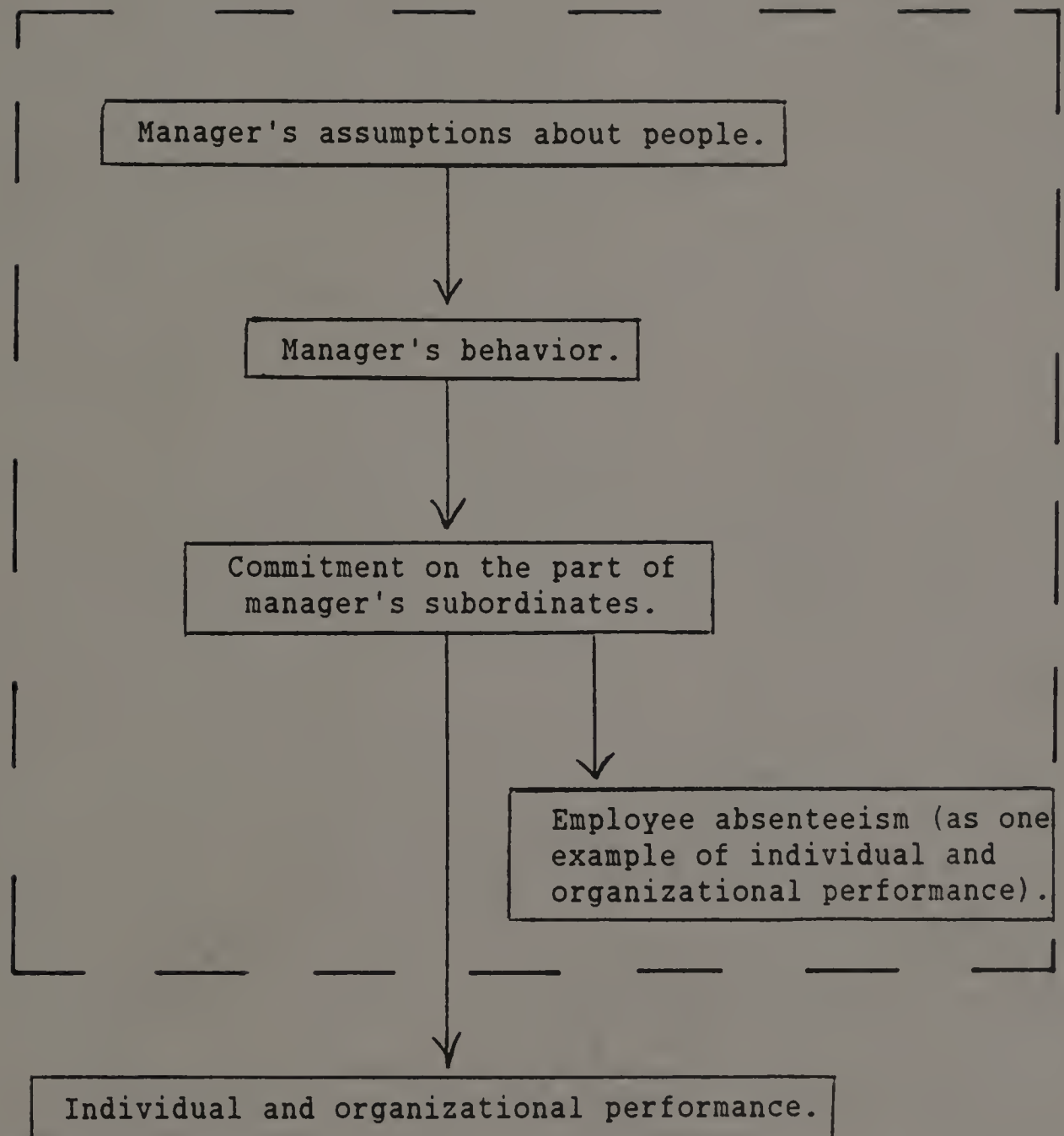


Figure 0.1. McGregor's serial linkage of several variables. Encapsulated variables represent the focus of the present study. (Schematic is based on: McGregor, D. [1967]. The professional manager. New York: McGraw-Hill Book Company.)

The managerial behavior of interest here was how often managers allowed employees to participate in decisions about work ideas and goals.

Very briefly, the study hypothesized that Theory X assumptions on the part of managers would generate lower levels of managerial participative behavior, employee commitment, and employee attendance, whereas Theory Y assumptions on the part of managers would generate higher levels of managerial participative behavior, employee commitment, and employee attendance.

WHAT WAS DONE:

Supervisors were the level of managers focused upon in this study. Four field offices were selected to collectively meet the researcher's need for a total of approximately 30 supervisors who managed employees doing largely one kind of work (that is, claim processing in grades 22-25). No office was selected because of any particular quality about the office. Twenty-eight supervisors filled out a questionnaire that asked them about their assumptions as managers. Two-hundred-nineteen employees of the twenty-eight supervisors filled out two questionnaires, one questionnaire about their supervisor's participative behavior, and one questionnaire about their own organizational commitment. An absenteeism rate for the past year for each employee was obtained from personnel records. (Group indexes on Weighted Resolved Claims, Statistical Accuracy, and Payment Incidents Accuracy were also gathered to assess the McGregor model with additional measures of performance, but for technical research reasons, these indexes could not be fully explored). Data was analyzed at the University of Massachusetts.

WHAT WAS FOUND:

Results offered support for two particular ideas: 1) Higher participative behavior on the part of managers was associated with higher organizational commitment by employees; and 2) there was a tendency for higher subscription to Theory Y on the part of managers to be associated with higher organizational commitment on the part of employees. A result which was unexpected was that higher managerial participative behavior was associated with higher absenteeism by subordinates (the researcher needs to try to figure out what might have contributed to this unexpected finding).

Results thus supported a few parts of the McGregor model but not the causal chain of variables as a whole. Finding support for theoretical ideas is often a slow and piecemeal process, so the model is not necessarily a "bad" one, however we should always be open to respecifying the model.

WHAT DOES IT MEAN:

Two conceivable implications of the study are that it may be possible to increase employees' organizational commitment by having managers who tend to subscribe highly to Theory Y and/or by having managers who tend to use participative behavior. These are tentative thoughts, not recommendations.

HOW ANY OF THIS INFORMATION SHOULD BE USED:

Information derived from the study should be used only as the basis for constructive thought and discussion and future research. All information should be considered tentative and subject to future evaluation.

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