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ORGANIZATIONAL CHANGE IN CORRECTIONS ORGANIZATIONS: THE EFFECT OF PROBATION AND PAROLE OFFICER CULTURE ON CHANGE IN COMMUNITY CORRECTIONS

by

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DISSERTATION APPROVAL

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ABSTRACT

An abstract of the dissertation of Shea Brackin Marshman for the Doctor of Philosophy in Public Administration and Policy presented January 18, 2008

Title: Organizational Change in Corrections Organizations: The Effect of Probation and Parole Officer Culture on Change in Community Corrections

Current trends in the field of community corrections make it necessary for administrators to consider innovative organizational change strategies to increase public safety. However, criminal justice administrators face pressure to maintain the status quo even as they are expected to produce successful outcomes through innovative practices. The broader implication is that administrators will have to develop proficiencies in the interpretation of theoretical concepts to make meaningful decisions about how best to use scarce resources to measure organizational variables. This research uses a case study of one community corrections organization to demonstrate how administrators in community corrections might make use of organizational culture variables to create and perpetuate systems for the collection of organizationally relevant data to support organizational innovation over time.

The goal of this project is two fold. First, this dissertation was designed to examine some of the variables associated with organizational culture that are important in transforming political and social pressure for increased public safety into

more effective correctional practices. Second, the research is especially focused on discovering the factors that make meaningful differences at the first line supervisory level of the organization.

In carrying out this research, three analytical methods were used to derive a broad spectrum of organizational data. First, a regression analysis ties organizational culture to practice outcomes. Second, data derived from an organizational survey completed by probation and parole officers and administrators define some of the broad characteristics of the organizational culture. Finally, a guided group interview of administrators allows consideration the specific cultural elements that may help or hinder the innovative strategies in which the organization has engaged. The information drawn from a guided group interview of a core group of administrators highlights several of the unique elements of the culture.

This dissertation is dedicated to

God

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This research is the result of a rich combination of professional experience, theoretical exploration, and vigorous debates. The goal of the work was to turn my exponentially expanding and frequently unruly ideas about organizational culture in criminal justice settings into a rather linear consideration of a decidedly nonlinear topic. It is through the help and dedication of many wonderful people that I have arrived at the end of this road.

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back so warmly. I also thank them for the work that they continue to do every day to keep the public safe. It is my sincere hope that my experience as a probation and parole officer will enhance my future research and assist the profession to continue to do its important work.

My family has been an endless source of support for me throughout this process. I want to thank my mother-in-law, Patricia Casey Marshman, for showing me how to keep putting one foot in front of the other no matter what this life dishes out and laughing through the rough spots. I am particularly grateful to my husband, Michael Marshman, for his patience, enthusiasm, and boundless love. He copy edited, listened to countless hours of theoretical meanderings, cleaned house, and held me while I cried. Most importantly, he inspired me to look to God no matter how long the hours and how dark the night.

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CHAPTER I: INTRODUCTION

The Problem: Lack of Theory Driven Methods for Organizational Change in Corrections Organizations

Bringing about change on a large organizational scale is a difficult task that requires persistent dedication to systematically defined goals and valid knowledge of organizational dynamics (French, Bell & Zawacki, 2005, p. vii). When attempting to institute planned change, organizations of all types must consider the internal and external elements that effect implementation (Cummings & Worley, 2005, p. 2). Culture is a fundamental, and frequently overlooked, organizational variable that must be considered when making transformative organizational change (Schein, 1992, 1999, p 3, 115). In corrections organizations (i.e. community corrections agencies, prisons, and jails) the same is true.

Changes in the external organizational environments have required many contemporary corrections administrators to consider systemic organizational change (Beto, 2007; White, 2006). However, organizational structure, organizational function, and the preconceptions of internal and external stakeholders that contribute to a strong organizational culture complicate planned organizational change in corrections settings (Joplin et al, 2004). Without theory driven methods that inform these change initiatives, administrators are unlikely to succeed, especially given the special nature of corrections organizations.

Structurally, corrections organizations are particularly difficult to change because they are designed for stability and control. Mintzberg (1993, p. 163-

187) categorizes these organizations as machine bureaucracies, which are characterized by the standardization of work processes to promote consistency. In addition, the primary function of corrections organizations is to promote public safety through the incarceration, incapacitation, and supervision or criminal offenders (Marion & Oliver, 2006, p. 402-403). Therefore, any planned organizational change must include systematic, long-term, multi-level change mechanisms as well as assurances that public safety will not be compromised.

Stakeholder preconceptions about organizational practices also strongly influence corrections organizations. The expectations of internal and external stakeholders about how the organization will operate helps to shape the organizational culture, which in turn shapes the norms, values, and beliefs that drive behavior and provide informal organizational stability (Schein, 1992, p. 51-69). Since changes in corrections practices may affect public safety, the general public, elected officials, corrections administrators, and corrections staff members are all likely to have strong opinions about how business should be conducted in prisons, jails, and community corrections agencies. Any change that threatens the public expectation of safety and does not provide guarantees for the timely rehabilitation or incapacitation of criminal offenders is likely to face opposition from stakeholders (Lattessa, 2004; Petersilia, 1996; Wilson, 2002, p. 556-557). These external pressures contribute to a risk-averse environment in which decision-makers in corrections organizations favor stability, control, and predictability over change (Latessa, 2004). However, the adoption of mandatory sentencing policies has forced corrections administrators to entertain the

necessity of undertaking organizational change initiatives.

In this study, the researcher is interested in understanding how internal organizational culture variables affect the ability of corrections administrators to undertake change initiatives. For the purposes of this research, the question of whether sentencing policies have affected a reduction in recidivism or whether they are the primary cause of increasing offender populations in prisons, jails, and community corrections is not at issue. Similarly, this research does not raise questions about whether the corrections practices described have resulted in a reduction in recidivism. Rather, the researcher is concerned with understanding how cultural factors in the current organizational environment influence change initiatives.

While this research does not document the causal nexus between organizational change initiatives in corrections organizations and mandatory sentencing policies, it is, nevertheless, important to understand the external backdrop for this study. Michael Tonry (1996) provides an historical account of the changes in sentencing policy and practices that have taken place over the past three decades. The mid 1970s marked a dramatic change in public policies for criminal sentencing. At that time, a number of mandatory minimum sentencing laws were passed. These laws required convicted offenders to serve longer periods of time in prison for an increasing number of crimes. Thus, felons who might previously have been sentenced to a term of probation in lieu of extended custody or released to parole prior the maximum length of the sentence were required to serve their entire sentence in prison. (Tonry, 1996).

Starting in 1980, every state in the country as well as the federal government began adopting laws requiring mandatory minimum prison sentences and decreasing the discretion of judges and parole boards (Tonry, 1996). Washington, Georgia, and California have also enacted laws mandating 25-year sentences for offenders convicted of a third felony (Ehler, Schiraldi & Ziedenberg, 2004). The Violent Crime Control and Law Enforcement Act of 1994 federally mandated this type of "three strikes and you're out" provision in addition to increasing the number of crimes punishable by execution (Tonry, 1996).

In 1980, the total population of offenders serving sentences in the custody of prisons, jails, probation, and parole was approximately 1.8 million (Bureau of Justice Statistics, 2006). Based on census data, this accounts for .8 percent of the United States population during that year. As of 2005, this number had increased to more than 7 million or 2.3 percent of the total population. Tonry (2006) argues that the sentencing policies of the past three decades have largely contributed to the growing corrections population.

The increasing offender population required changes to corrections strategies. Among the most common strategies have been the aggregation of individual offenders into risk types that can be efficiently incarcerated and supervised in groups (Feeley & Simon, 1992). While this strategy may facilitate the containment of offenders while in custody, scholars question whether it will reduce their likelihood to recidivate upon release (Latessa & Lowenkamp, 2006). A large body of research argues that generalized incarceration and surveillance-based community supervision techniques

(e.g. boot camps, drug and alcohol education, intensive supervision programs) that do not incorporate appropriate interventions during incarceration and the subsequent transition into the community are unlikely to affect offenders' risk to recidivate (Latessa & Lowenkamp, 2006; Lowenkamp & Latessa, 2005).

Research has demonstrated that incarceration without appropriate rehabilitative intervention fails to reduce recidivism and can amplify the overall risk to public safety by increasing the likelihood of new criminal activity (Gendreau et al, 2000; Cullen & Gendreau, 2000; Latessa, 1999; Latessa et al, 2002). A growing body of literature demonstrates that incarceration alone has largely failed to reduce violent crimes (Loftin, Heumann, McDowell, 1983; Merrit, Fain, Turner, 2006; Tonry, 2006). Also, punitive methods of incarceration and surveillance-based community supervision have a limited impact on recidivism rates (Byrne, Lurigion & Petersilia, 1992; Cullen & Gendreau, 2000; Gendreau et al, 2000; Latessa et al, 2002; Travis & Petersilia, 2001; Wilson & Petersilia, 2002). These findings are especially worrisome given the Bureau of Justice Statistics (2003) estimation that approximately 95 percent of the inmates housed in prison facilities ultimately return to the community with almost 80 percent being released to parole. However, the lion's share of criminal justice funding has been focused on incapacitating offenders rather than research to identify how best to rehabilitate the offenders who will one day be released from custody (Wilson, 2002, p. 556-557).

It is likely that voters who favor mandatory sentences for a greater array of crimes are unaware of scholarly research used to argue that incarceration alone is not

likely to result in offender rehabilitation. It is also likely that voters did not consider what would happen when those sentenced to lengthy prison terms were ultimately released. However, survey data seems to indicate that the public expects sentencing policies to result in corrections practices that hold offenders accountable for their criminal behavior while also increasing the likelihood of rehabilitation through programs that successfully reduce criminal activity (Applegate et al 1997; Cullen et al, 2002; Moon et al, 2000; Sundt et al, 1998).

Continued support of mandatory minimum sentencing policies demonstrates that incarceration is the publicly preferred method for holding criminal offenders accountable for their behavior. However, neither the public nor elected officials tend to support funding for the types of research that is needed to test the effectiveness of alternate strategies to increase public safety (Wilson, 2002, p. 556).

Increasing offender populations and corrections costs, along with a growing body of literature refuting the effectiveness of the practices of the last thirty years, have sparked a need for transformative organizational changes in corrections settings (Beto, 2004; Joplin et al, 2004; White, 2005). Research suggests that there are new practices that show promise in increasing public safety (Lowenkamp & Latessa, 2005). Corrections administrators in some jurisdictions have used this research on what has come to be called "evidence-based practices" to justify policies that support increases in the incarceration of "high risk" offenders while reducing the length of incarceration for "low risk" offenders (Joplin et al, 2004; White, 2005). However, organizational decision-makers lack the theory driven methods for organizational

change in corrections settings that would assist them in making the types of transformative organizational change necessary to fully implement innovative practices (Joplin et al, 2004). For example, Latessa (2004) argues that corrections administrators who are interested in implementing the evidence-based practices face internal pressure because organizations resist change and external pressure because elected officials want to avoid political risk taking. However, implementation of evidence-based practices may require transformative changes on a variety of organizational levels and the inclusion of external stakeholders who must be made to understand why the change is necessary. Therefore, administrators need assistance to plan and execute their change efforts.

The previous example suggests that to accomplish organizational change, administrators will need to facilitate the reconsideration of organizational missions and values. They will need to gain stakeholder support for new corrections practices and plan potential shifts in the infrastructure (Joplin, et al, 2004; White, 2005). The impact that these changes will have on the organizational culture at the operational level must also be considered because, although small changes in practices can be made with little concern for the culture, any transformative organizational change that does not conform to the existing culture will meet with unnecessary difficulties or failure (Schein, 1999). Such a large scale organizational shift will require the development of new standards for measuring the success of criminal justice organizations and the creation of new analytic methods, collection of data and processes of evaluation (Quinn & Rohrbaugh, 1983).

As corrections officials and administrators take on this challenge, they need to know how organizational culture, structures, and processes at the operations level may affect changes in their practices. Currently, there is a lack of research-based information at this level of corrections organizations. As a consequence, administrators have little reliable information about how organizational structure and processes may influence the effectiveness of any of the desired outcomes in corrections settings.

Purpose of Research Project: Testing the Influence of Organizational Culture on Probation and Parole Practice

This research project examines some of the operational variables associated with organizational culture that are important in transforming environmental pressure for increased public safety into correctional practices. The researcher is especially interested in discovering the factors that make meaningful differences at the first line supervisory level of the organization. More specifically, this study tests the influence of the organizational culture on the practices of probation and parole officers (PPOs) in the Multnomah County Department of Community Justice: Adult Services Division (ASD).

The overarching organizational culture of ASD comprises many subcultures. The problem that serves as the focus of this dissertation is the relationship between the goals of the larger organizational entity as defined by the administrative functional unit and the probation and parole officer (PPO) professional subculture. To what

extent does alignment – coordinated functioning with a common cause or point of view - between these two subcultures affect the ability of the organization as a whole to successfully implement an organizational change strategy? This is not a question of whether there is a difference between the administrative and PPO subcultures. The extreme difference between the tasks performed by members of the two groups makes this a foregone conclusion. Rather, the researcher is interested in exploring how the characteristics that define each subculture affect organizational change and how the two subcultures relate to one another.

Of considerable importance in this research is how success, as it relates to organizational change, is defined. There are three different conceptions of success at work here. The first conception of success is an external, public perception. Externally, successful organizational change in ASD might include a political change that results in increased public safety as well as greater public education about the benefit of research driven decision-making for offender supervision. The second conception of success is an internal offender level success that is defined and observed by PPOs. This type of success might be realized when PPOs have the tools and training necessary to effectively manage their caseloads such that public safety is increased through an appropriate combination of incapacitation and rehabilitation of offenders. Finally, internal administrative success fits between the other two. In this research, it is defined by the implementation of organizational practices that support the systematic application of policies and procedures that can be expected to increase public safety based on research-driven evidence. Although all three types of success

are considered throughout this research, internal administrative success is the primary focus.

As with most bureaucracies, success is defined by those responsible for the strategic apex of the organization (Mintzberg, 1993, p. 168). The ASD administrative functional unit has defined success as the promotion of public safety by the reduction of recidivism for adult persons convicted of criminal offenses and sentenced to a period of community supervision through a balance of supervision, services, and sanctions. This goal is the centerpiece of the mission statement of the Multnomah County Department of Community Justice:

> Our mission is to enhance community safety and reduce criminal activity by holding youth and adults accountable in a fair and just manner, assisting them to develop skills necessary for success, and effectively using public resources (ASD website).

In addition, the ASD administrative functional unit defines its formal organizational "values" and principles of operation to include: change and rehabilitation, strong families, professionalism, information based decisions, collaborative relationships, restitution to victims and communities, diversity, financial accountability, and investing in employees (ASD website).

However, at the suborganizational level, the researcher has observed that PPOs at ASD define success somewhat differently as a result of the goals, culture, and tasks that drive their work. While ASD administrators and PPOs alike resoundingly support the overarching organizational goal of increased public safety, individual attitudes regarding the appropriate methods for the attainment of this goal can differ

considerably among those responsible for doing the work necessary to implement the organizational change strategy. As a profession, research (Lynch, 1998) demonstrates that PPOs tend to gravitate toward strategies supported by their personal experience and do not easily trust research to inform real world practices. This is often in direct contradiction with the administrators who have based their organizational change strategies on research-driven methods (White, 2005).

Administrative Strategies for Organizational Change

ASD administrators informed the researcher that more than ten years ago, criminological research on community supervision methods that reduce recidivism convinced their predecessors to undertake an aggressive organizational change strategy. The change required a policy shift. Therefore, administrators changed probation and parole functions from supervision by surveillance to a rehabilitative model based on risk management through actuarial offender assessments.

Although ASD is considered to be one of the forerunners, it is not the only jurisdiction in which innovative changes have been explored. In the face of a dramatic increase in the number of offenders entering the criminal justice system, many community corrections administrators experience political pressure to quantify decision-making about the most appropriate correctional strategies for offenders based on the risk category into which they fit (Alarid, Cromwell & del Carmen, 2008, p. 302). This statistically-centered approach is intended to reduce the degree of human error and bias that may take place (Lynch, 1998; Schneider; Ervin & Snyder-Joy, 1992; see also Feeley & Simon, 1992). As a result, actuarial assessment tools used to

evaluate offenders at various times during their supervision have been introduced in community corrections agencies. By providing a more accurate measure of offenders' risk to re-offend and the degree of danger they pose to the community, scholars and corrections administrators hope that PPOs will be better able to supervise the offenders on their caseload (Alarid, Cromwell & del Carmen, 2008) and use research-driven strategies to reduce recidivism (Latessa & Lowenkamp, 2006).

Evaluative tools, such as offender risk and needs assessments, are designed to compare the characteristics and criminal behavior patterns of individual offenders with static and dynamic variables that have been demonstrated to have an effect on recidivism. Scholars assert that the resultant offender risk scores will provide the PPO with a statistically reliable level of supervision upon which to design an individualized case plan (Latessa & Lowenkamp, 2006; Lynch, 1998; Schneider, Ervin & Snyder-Joy, 1996). In practice, a PPO will enter answers to questions about the offender into the (frequently electronic) assessment survey. These questions may include: the offender's current age and age at first conviction, gender, crime type and number of convictions for certain types of crime as well as whether there is evidence that the offender has a history of substance abuse and whether the offender exhibits pro-criminal attitudes. This information is then used to rank the offender at a high, medium, or low risk to re-offend. The PPO will then base his or her decisions about the number of contact visits that will be required of the offender, the level of substance abuse treatment (e.g. residential treatment, out patient treatment, or no treatment), and the type and length of sanctions available for violations of supervision conditions on

this score (Alarid, Cromwell & del Carmen, 2008, p. 302).

The large body of research that supports the use of statistically validated risk and needs assessment tools as fundamental to the successful implementation of community supervision has come to be known as the "What Works" literature, which forms the basis for evidence-based practices (Lowenkamp & Latessa, 2005). ASD administrators chose to base their organizational change strategies around the implementation of the practices outlined in the "What Works" research (Fuller, 2004)

Administrators in other community corrections organizations who have implemented evidence-based supervision strategies such as those outlined in the "What Works" literature have cited increasing offender populations and decreasing budgets as among their primary considerations in doing so (Joplin et al, 2004). However, interviews conducted for this study demonstrate that ASD took a slightly different path. Administrators informed the researcher that fiscal shortfalls and steadily increasing caseloads were a concern. However, at the time that the organizational change was initially considered, they were not yet under pressure to respond to these issues. Rather, administrators were interested in considering innovative research-driven practices toward more effective community supervision. They were further supported in their efforts by the release of an audit report conducted by the Multnomah County Auditor's Office in early 1997 (Multnomah County Auditor, 1997). The audit demonstrated that programs using the innovative methods supported by the "What Works" research seemed to produce a reduction in recidivism while surveillance-based methods of supervision did not.

Along with the interviews conducted for this research, power point presentations, presented to a variety of internal and external audiences and then saved on the ASD website, document the organizational change strategy (Fuller, 2004; Haines, 1999). Organizational decision-makers expected that, by incorporating the "What Works" strategies into policies at all organizational levels, they would be able to identify and reduce ineffectiveness in offender supervision and treatment (Haines, 1999). The new policies would result in an organizational focus on practices that research had demonstrated to be likely to increase public safety through the rehabilitation of offenders (Fuller, 2004).

The change strategy undertaken by ASD administrators fostered their reevaluation of the mission and values of the entire Department of Community Justice and the shifting of resources toward a new supervision approach (Fuller, 2004). ASD administrators focused on developing policies and procedures that enhanced accountability for the evidence-based practices for all members (Haines, 1999). To this end, specialized caseloads based on crime type and offender characteristics were developed to allow PPOs to more easily address the offender needs that (if they remained unmet) were most likely to result in new criminal activity. New rehabilitative treatment programs with curricula based on evidence-based practices and intermediate sanctions incorporating research-driven strategies were adopted. Operations level staff received training in methods found to be effective in motivating offenders to change their negative behaviors (Haines, 1999).

PPO Professional Practices and Strategies

The practices developed in ASD's organizational change strategy require PPOs to use tools that shift their attention from intuition, experience, and professional discretion to a focus on statistical probabilities to determine offender risk and define appropriate officer response. This change, in many ways, goes against the values, norms, and beliefs upon which the PPO professional subculture across the country has traditionally operated (Lynch, 1998).

Probation and parole work is very broadly defined by a dual set of responsibility categories. On one hand, PPOs are officers of the Court who are sworn to enforce parole and probation sentences. On the other hand, PPOs are expected to exercise their duties with care and concern for rehabilitation. This dual purpose requires that PPOs maintain a balance between their enforcement function and their social service function as dictated by the needs and behaviors of the offenders they supervise (Cosgrove, 1994; Lynch, 1998; Schneider, Ervin & Snyder-Joy, 1996). PPOs, in their enforcement role, have the authority to arrest offenders. However, the need to work with offenders toward rehabilitative goals makes the variables that they consider when deciding whether to make an arrest quite unique from those that a police officer would employ. Similarly, while PPOs in their social service role engage in counseling, mentoring, and brokering of social services toward the rehabilitation of offenders, because of their enforcement role PPOs engage in methods of interaction with offenders that are vastly different from a social service provider.

The professional culture of probation and parole officers is further defined by

the expectations of the organization within which they are employed and the professional discretion they exercise (Chavaria, 1994). The external expectations placed on community corrections organizations have changed over time with the shifting societal emphasis on punishment and incarceration. Despite these changes, PPOs have continued to define success largely by their ability to increase public safety through their use of professional skills gained through experience, training, and intuition about how best to supervise each individual offender. Perhaps more importantly, however, PPOs are dedicated to established professional practices that they believe to be effective because failure in their work with offenders may result in new crimes, new victims, and even death for the offender or their victims (Chavaria, 1994; Cosgrove, 1994).

In ASD, the organizational change required staff at all levels to shift their procedures to data-driven decision-making. For PPOs, this shift meant the inclusion of assessment-based supervision in their work with offenders. Assessment-based supervision differs from traditional methods of community supervision in which PPOs used their own experience, training, and expertise rather than a risk survey to make determinations about the risk level of offenders and the appropriate methods for supervision. Some scholars argued that probation and parole officers would not easily embrace the resulting reduction in their discretion (Simon, 1993). However, research concerning the attitudes of probation and parole officers regarding this change is extremely limited.

Schneider, Ervin, Snyder-Joy (1996) conducted a study of PPOs in Oklahoma.

Their findings suggest that, while dubious about the overarching benefit of the "scientification" (p. 109) of community supervision, a slight majority of PPOs were willing to consider the value of risk assessment tools. However, parole officers in California (Lynch, 1998) were somewhat less pleased with what they perceived to be the loss of professional discretion as a result of increased use of assessment instruments that could be used to dictate their supervision options. These parole officers actively subverted the efforts of upper management to use actuarial risk management tools in an effort to maintain their ability to individualize the supervision of offenders (Lynch, 1998).

While almost a decade of actuarial offender assessments have followed these studies on PPO attitudes, anecdotal evidence from administrators and PPOs demonstrates that probation and parole officers at ASD continue to share some of the attitudes of their colleagues in Oklahoma and California (Lynch, 1998; Schneider et al, 1996) in that they question the validity of administratively defined practices. PPOs who work for Multnomah County ASD have integrated the practices prescribed by the organizational change. When asked during this research, PPOs informed the researcher that they find the risk assessment survey to be a useful case management tool. However, many are skeptical about the methods ASD uses to determine the most appropriate techniques for offender supervision. Put simply, it may be difficult for PPOs to trust organizational innovations. Although the larger result may be greater organizational success in the reduction of recidivism, the price of failure with individual offenders is very high. For PPOs, the professional culture of autonomy and

discretion that encourages them to make gut level decisions about how to work with each offender may be too strong to be over-ridden by administrative initiatives supported by scholarly research.

Research Questions

This dissertation begins with the perceived disjunction between how PPOs define success and how organizational leaders who initiate change define success. How important are the cultural differences between the PPO professional subculture and the overarching organizational culture created by ASD administrators? The study will seek to answer this question by determining what impact the cultural difference may have on the reform initiatives undertaken by the organization. For the purposes of this study, the researcher has posed the following two questions: 1. How does the PPO subculture operating within ASD affect the change agenda initiated by ASD administrative leaders? 2. How important is the alignment between the professional culture of probation and parole officers and the organizational culture created by ASD administrative leaders in the fulfillment of the tasks required in the organizational change agenda?

This research has broad implications for administrative practices in ASD. First, it can be used to inform organization-level administrative decision-making. It is not uncommon for administrators to base their organizational choices on their own experience, previous successes, and the practices of other organizations (DiMaggio & Powell, 1983). However, administrators are limited in their options for the

formulation of organizational strategies by the quality and scope of the information they possess (Mintzberg, 1993, p. 185; Simon, 1947). In the case of ASD, administrators may be better able to identify weaknesses in their organizational change strategies if they know which PPO subcultures are more likely to make use of research-driven offender assessment tools. For example, if research shows that a particular subculture is helpful to the success of a given reform initiative, administrators can anticipate that need and build it into the implementation process.

Second, corrections administrators need to know how best to spend their time and energy in a resource-scarce environment (Latessa, 2004; White, 2006). If, for example, administrators have assumed that cultural alignment is important and have invested considerable organizational resources in reforming the culture of the organization toward that goal, it is important for them to consider the existing elements of the organizational culture and whether operational outcomes are actually affected by cultural alignment.

Third, answers to the research questions posed in this study will assist administrators in the development of realistic goals for organizational change outcomes as they relate to culture. An example of this can be seen in the specific organizational concerns in evidence in ASD. Anecdotal information drawn from interviews with ASD administrators and other professional staff indicate that administrators place considerable value in engaging PPOs in the change process rather than simply requiring them to accomplish defined tasks. This is because administrators have made it known that they are dedicated to making the work that is

accomplished meaningful through its logical application of research-driven supervision techniques (ASD mission and values). The central administrators support a leadership strategy in which PPOs are able to embrace the organizational change because its success has been demonstrated to them, not just because they are required to carry it out (Fuller, 2001). Further, those initiating the change have made it clear, through published articles (Fuller, 2001), internal and external presentations (Fuller, 2004; Haines, 1999), and interviews for this research, that the successful operation of the organization depends on the development of a common culture that supports the rationale for the change initiative. In effect, the administrators hold the conventional view that if the PPOs take ownership in the change agenda they will be happier in their work and, therefore, produce better results.

On the other hand, the professional practices of PPOs may be relatively unaffected by the organizational culture. If this is the case, corrections administrators at ASD may decide that they would rather dedicate more effort to developing a well designed change plan and clear policy directives than to eliciting support from the professionals who make up the PPO subculture.

Value of the Study

At present, little is known about how organizational culture effects change in correctional organizations. This dissertation sheds light on this concern through the use of a case study that assesses three kinds of organizational culture relationships. First, it identifies the effect of PPO professional subculture types on organizationally defined measures of success. Second, it assesses the relationship between the

overarching organizational culture and the PPO professional subculture. Finally, it uses data about the organization's overarching culture to examine the consequences of organizational decision-making.

Value to the Development of Theory

Transformative organizational change efforts are less likely to succeed if organizational culture is not considered in the change plan (Cameron & Quinn, 1999, p. 1; Schein, 1992, 1999, p. 138-139). However, it is important to consider the unique characteristics of each organizational setting (Schein, 1992) as well as the nature of the insular subcultures that tend to develop in specialized professions (Ouchi & Wilkins, 1985). This is particularly the case in corrections settings, which consist of multiple subcultures that reflect the competing goals of the criminal justice setting (i.e. rehabilitation, punishment, community safety). In as much as there is a need for organizational culture change in community corrections agencies attempting to implement evidence-based practices (Joplin et al, 2004; White, 2006), there is an equally strong need to conduct research to inform the change process. However, there is a lack of organization-centered criminal justice reform research (Latessa, 2004).

A thorough review of the literature and information gathered directly from leading researchers in the field of criminal justice indicates that there is little connection between the research conducted in the fields of public administration (specifically organizational change[1] and culture) and criminal justice. Some researchers report that

[1] Although it is outside of the scope of this research, it is important to note that some current research on organizational readiness for change in correctional treatment settings is being conducted in the field of Organizational Psychology. Simpson, D.D. & Flynn, P.M. (2007). Moving innovations into

many contemporary corrections administrators want to cultivate practical tools for organizational change while taking into account the importance of organizational culture in the change process (Joplin, 2004; White, 2006). However, these administrators have relied on popular literature (i.e. Kotter, 1996; Senge, 1994) that broadly informs organizational change in corporate settings (Joplin, 2004; White, 2006) rather than making use of the tools and research developed by public administration scholars with expertise in change in government bureaucracies. This has resulted in adverse consequences for corrections practices and policies. The section that follows provides examples to illustrate these points.

Value to Criminal Justice Practice, Policy Formation and Evaluation

Corrections administrators are responsible for addressing public safety concerns in a changing organizational environment. For example, in the last two decades, the public and legislators who have passed tough-on-crime laws have expected to see a marked reduction in violent crimes based on laws that increase sentence lengths for many crimes (Tonry, 2006). In more recent legislation, elected officials and concerned citizens have demanded that corrections administrators provide persuasive evidence that costly rehabilitative treatment programs will produce worthwhile results (Latessa, 2004). Under mounting pressures to demonstrate success, corrections administrators are caught between the positive incentive of making changes that cut costs and the negative incentive to make only those changes that they can prove are safe and show considerable success. Without evidence to justify their

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treatment: A stage based approach to program change. *Journal of Substance Abuse Treatment.* 33(2): 111-120 Sept.

organizational accomplishments, corrections administrators are vulnerable to criticism. Without evidence to explain whether an organizational initiative is working, administrators may be spending more time than is necessary on the wrong things.

This certainly may be the case with the introduction of actuarially-based offender supervision strategies. While these programs have proven to be effective in the rehabilitation of offenders (Lowenkamp & Latessa, 2005), studies have not been conducted to inform organizational implementation. In the absence of this information, administrators may be spending their time doing things that are not necessary for the success of the programs. However, if administrators are dedicating efforts to practices that matter most to the success of actuarially-based supervision strategies, the absence of validating information limits their ability to educate elected officials, concerned members of the public, and members of the organization at the operational level.

The following chapter provides a review of the foundational literature in the fields of public administration and criminal justice. This review will draw upon criminal justice literature to document ASD's organizational environment. It will also review public administration literature to document the importance of undertaking studies that connect the research findings on organizational culture theory with the research on practice within corrections settings.

CHAPTER II: REVIEW OF THE LITERATURE

A review of the literature in public administration and criminal justice reveals little research that connects our knowledge of organizational change theories with criminal justice reform initiatives. This has resulted in a lack of evaluative data regarding effective organizational change in corrections organizations. The absence of such information may perpetuate the continuation of practices that do not work or that are not necessary. This becomes especially important for corrections organizations, which have a dual mandate to protect public safety through the incapacitation and rehabilitation of convicted criminals (Marion & Oliver, 2006, p. 402-403). If this difficult task of achieving conflicting goals is not successfully met, corrections officials and institutions quickly lose public support. At best, the continuation of ineffective and unnecessary organizational practices will result the misuse of resources that could be better used in other ways. The more frightening concern, however, is that ineffective corrections practices will result in a decrease in public safety. For this reason, theory driven methods for the evaluation of organizational change efforts in corrections organizations is important. This study takes a first step toward that goal.

There are three bodies of research upon which the author draws for this study: criminal justice, organizational development in the field of public administration, and theories for the evaluation of organizational culture. Using the literature from these three fields of study, the author identifies the organizational environment that defines current community corrections practices and demonstrates the importance of organizational culture in the evaluation of change efforts in corrections settings.

Defining the Organizational Environment: A Review of the Literature in Criminal Justice

The researcher draws upon scholarship in the field of criminal justice to develop an accurate understanding of the organizational environment within which this research project is undertaken. The criminal justice literature provides a robust account of the overarching policy arena as it relates to criminal sentencing, the current practices in community corrections, and an explanation of the changes in practices undertaken by the Multnomah County Department of Community Justice: Adult Services Division (ASD). At the outset, it is important to note that this literature does not provide corrections administrators with an overarching framework for understanding the organizational variables that influence the practical reforms with which they have been preoccupied: sentencing policy, community corrections practices, and rehabilitative strategies. It is also important to note that the researcher has intentionally directed the scope of this literature to focus on and, thereby explain, the perspective that ASD administrators have embraced. Therefore, the following review of the literature regarding sentencing policy, community corrections practices, and the supervision strategies that are being used by ASD do not included an exhaustive review of all competing perspectives. For example, this review includes literature in support of rehabilitative strategies using the "What Works" literature, but does not include much discussion about why these strategies may not be appropriate in community corrections settings (e.g. Shearer, 2003).

Sentencing Policy: Mandatory Minimum Sentences

The narrow subfield of sentencing policy literature (especially regarding mandatory sentencing) provides a description of how corrections policies have evolved, since the 1970s, to define practices in prisons, jails, and community corrections. This literature (see especially Tonry, 1996) explores the initial determinate sentencing and tough-on-crime legislation that brought about an increase in the length and number of criminal sentences for a larger number of offences. These policies have contributed to an increase in the population of offenders in prisons, jails, and on community supervision (Bureau of Justice Statistics, 2005). The need to incarcerate and supervise a growing number of offenders has caused a massive prison build-up and an increase in surveillance-based community supervision (Morris & Tonry, 1990; Tonry, 2006). Tonry (2006) has argued that mandatory sentencing policies may be singularly responsible for the current need for organizational change that contemporary corrections administrators face. Be that as it may, there is no question that the passage of mandatory sentencing policies has resulted in longer custody sentences for a great number of crimes than was previously required.

The tough-on-crime laws passed over the last several decades were largely based on the general assumption that harsher penalties, universally applied, will deter criminal behavior (Tonry, 1996). This assertion is supported by research, based on an economic theory of deterrence (Ehrlich, 1977), demonstrating that capital punishment effectively deters future murders. In later research, Nagin and Pogarsky (2001, 2003) argued against this assertion and the value of deterrence theory in general by

demonstrating that impulsivity in individuals effectively negates the deterrent effect provided by threats of punishment. "Although punishment certainty has been consistently found to deter criminal behavior, the evidence for severity and celerity effects is inconclusive [and] deterrence theory neglects the growing list of personal traits that appear to predict offending" (Nagin and Pogarsky, 2001, p. 866).

Although the resulting tough-on-crime laws appear to be supported by a particularly punitive philosophy, the historical origins of the overarching movement toward determinate sentencing was based on a somewhat different perspective than the laws that followed. In his historical account of the development of contemporary sentencing policies, Tonry (1996) explains that in 1972, Judge Marvin Frankel proposed the creation of administrative sentencing committees to develop and oversee rules for sentencing. It was Judge Frankel's intention to use these policies to alleviate racial and class bias, as well as to bring sentences into closer parity. On the state level, these policies resulted in sentencing committees and sentencing guidelines that appear to have demonstrated some success in increasing sentencing equity and ensuring more effective use of local resources. The U.S. Sentencing Commission (United States Sentencing Commission, 2007) that was later developed to regulate federal sentencing has been considered less successful in that its guidelines were somewhat less flexible than those of the states. Some have argued (Barker, 2006; Tonry, 2006; Tonry, 1996) that, rather than submit to sentencing policies that they deem inappropriate, judges under the authority of the federal sentencing regulations have circumvented them through discretionary exercise of their authority.

Questions regarding sentencing practices and philosophies provide insight into the way that crime and punishment are viewed in modern society (Gross & Von Hirsch, 1981). The prevailing mandatory sentencing approach is based on a just deserts model of punishment (Von Hirsch, 1992a) that uses sentencing grids and guidelines to define judicial options that promote sentencing parity (Von Hirsch, 1992b; Robinson, 1987). Although positive in theory, Tonry (1996) argues that, in practice, sentencing guidelines place too great a focus on the current and past criminal convictions of offenders and not enough focus on the aggravating and mitigating circumstances that led individuals to commit crimes. Barker (2006) has further proposed that even though sentencing guidelines represent a rather transparent managerial approach to new penology based on risk groups rather than individuals (Feeley & Simon, 1992), mandatory minimum sentencing allows prosecutors to use defined standards that limit "uniformity, fairness, proportionality, and equal protection principles" (Barker, 2006, p. 39) by tailoring their sentencing choices to promote plea bargaining rather than trials.

Research to evaluate the effectiveness of mandatory sentencing policies has largely failed to demonstrate success in achieving the espoused goals of deterrence of criminal behavior through the universal, equitable application of clearly defined minimum criminal sentences (Merrit, Fain, Turner, 2006; Loftin, Heumann, McDowell, 1983; Heumann & Loftin, 1979). In addition, questions have been raised about the ability of the criminal justice system to make effective changes in response to these problems because of barriers that are inherent to the organizational structure

of criminal justice entities (Feeley, 1973). Finally, some argue that ineffective policies such as mandatory sentencing are the direct result of policy makers who have personal agendas designed more to send ideological messages and meet partisan political goals than to provide legitimate methods of practice for criminal justice (Tonry, 2006; Tonry & Green, 2003; Zimring et al, 2001)

The mandatory sentencing literature leaves us with a picture of an unmanageable policy mandate. Contemporary administrators are left wondering how they can succeed in managing an increasing number of criminal offenders under the custody of the prisons, jails and community corrections agencies (Beto, 2004; White, 2006). Even though there is considerable debate regarding the specific direction that innovative strategies should take (Wilson, 2002), criminal justice scholars largely agree that there is a need for corrections reform (Beto, 2007; 2004; Tonry, 2006). However, these scholars are essentially silent about what discretionary initiatives corrections administrators should undertake to make organizational improvements (Latessa, 2004). This is because research with a focus on organization level variables is not common in the field of criminal justice. Therefore, even scholars who point out the need for organizational change in the implementation of evidence-based practices (i.e. Joplin, et al, 2004; Latessa, 2004) lack research to inform such changes.

To begin to address the problem, this researcher is interested in a more limited focus on the organizational environment that the sentencing policies of the past twenty years has created for administrators in community corrections settings. Since the mid 1990s, correctional leaders and managers have expressed growing concern about their

responsibility for the supervision of an increasing number of offenders who were being released from state prison to parole following mandatory minimum sentences (Joplin et al, 2004). This, along with new research on offender rehabilitation strategies that will be discussed in detail later, motivated them to engage in the organizational change initiative upon which this dissertation is based. The following section provides a review of the literature specific to the practices developed by community corrections agencies in response to mandatory sentencing policies. It documents the specific organizational environment that influences community corrections organization and demonstrates the competing arguments associated with organizational practices.

Community Corrections: Intermediate Sanctions

In addition to increasing the number of offenders sentenced to prison and jail, mandatory sentencing policies also dramatically raised the number of offenders required to serve a sentence of community-based supervision (Morris & Tonry, 1990). Therefore, starting in the 1980s, community corrections practices were changed to facilitate the supervision of the growing number of offenders in the community while still meeting the punitive goals of mandatory sentencing laws. An explanation of the current practices in community corrections settings are found in the writings of scholars who have studied intermediate sanctioning.

Intermediate sanctions are "punishments that [by offering non-custody sentencing options] lie somewhere between prison and routine probation with respect to their harshness and restrictiveness" (Byrne, Lurigio, & Petersilia, 1992, p. ix).

These types of sanctions are intended to save money, promote general and specific deterrence, enhance public safety, and rehabilitate offenders while also providing an appearance of reform within the correctional system by transferring resources to probation and parole, and allowing for more punitive actions from probation administrators (Byrne, Lurigio & Petersilia, 1992). Intermediate sanctioning practices were viewed by administrators as creative solutions to the pressures created by the mandatory punishment-centered policies of the period (Cullen & Gendreau, 2000). They include, but are not limited to: intensive supervision programs, electronic monitoring and house arrest, drug testing, restitution to victims, and correctional bootcamps (Cullen & Gendreau, 2000). A variety of substance abuse treatment programs have been included as elements of surveillance-based supervision techniques as well, although subsequent research demonstrated that many of the programs are unsuccessful in reducing criminal behavior (Latessa, 1999).

Even in light of the popularity of tough-on-crime legislation and a general movement toward surveillance rather than rehabilitative goals in community corrections, the greatest impact on offender behavior has been found to come from the treatment rather than the surveillance elements of community based corrections (Byrne, Lurigio, & Petersilia, 1992; Travis & Petersilia, 2001; Wilson & Petersilia, 2002). Extensive research suggests that, with the exception of sanctions that include treatment (Gendreau, Cullen, and Bonta, 1994) and restitution (Gendreau, Goggins, and Fulton, 2000), purely punitive intermediate sanctions fail to reduce recidivism (Petersilia & Turner, 1993; MacKenzie & Shaw, 1993; Cullen, Wright, and Applegate,

1996; Fulton, et al., 1997; Gendreau & Ross, 1987; MacKenzie, 2000).

However, proponents of intermediate sanctions argue that surveillance-based community supervision techniques can reduce prison overcrowding, increase public safety, and rehabilitate offenders at a reduced cost to taxpayers (Byrne, Lurigio & Petersilia, 1992). This may be true if the appropriate elements are incorporated into sanctioning programs (Alarid, Cromwell & del Carmen, 2008), and if program evaluations and funding are based on reasonable definitions of success. Evaluation advocates propose that programs should be administered using "a more comprehensive and graduated sentencing structure, where the punishment more closely matches the crime" (Byrne, Lurigio & Petersilia, 1992, p. xiv) and that success should be based on the development of skills that have been found to reduce future criminal behavior rather than an overall reduction in recidivism.

As administrators in community corrections agencies have struggled to meet the needs of offenders transitioning out of custody, intermediate sanctions have appeared to be a viable option (White, 2006). However, criminologists have discovered that the benefits of more surveillance programs are often meager. In effect, the rate of recidivism is not substantially lowered through intermediate sanctions that lack program elements demonstrating research-based success (Lowenkamp & Latessa, 2005). Even so, administrators in local and state jurisdictions have supported the funding of expensive, politically popular treatment programs (e.g. correctional bootcamps) that have no empirical evidence of success because they have the support of policy makers and meet stakeholder expectations of what corrections treatment

should look like (Latessa, 2004).

Program evaluations that incorporate valid research techniques are costly. They require more time, data, and resources than are frequently available (Wilson, 2002, p. 556-557). At best, the research is unlikely to demonstrate the types of success rates that would encourage political support. This is because legislators seldom have realistic expectations for program success. The public and elected officials may tend to measure successful rehabilitative treatment from the perspective of the more commonly understood measure used in an educational grading scale. Therefore, they expect that success means that at least 70 percent of those who enter a treatment program will become productive, law abiding members of society. This is an unrealistic goal. Highly successful offender rehabilitation programs are those that produce an effect size that is equivalent to less than one third of the population served because offender rehabilitation is a long and difficult process that is not easily accomplished (Latessa, 2004). Further, surveillance-based supervision options that demonstrate little effect on recidivism continue to have strong public support (Wilson, 2002, p. 556). This results in a public expectation that cannot be realized in practice.

A change in Oregon law illustrates the struggle of policy makers to support solutions that are simultaneously economical and evidence-based. In response to growing pressures for demonstrable positive outcomes in legislatively funded rehabilitative treatment programs, Oregon policymakers passed Senate Bill 267 in 2003. Senate Bill 267 requires that 75 percent of the state supported funds for rehabilitative treatment be allocated to programs that provide evidence-based

outcomes, which demonstrate a reduction in recidivism (Latessa, 2004). From a theoretical perspective, this type of legislation seems to imply that policy makers are beginning to appreciate a need to balance.

Although the efforts undertaken by ASD to introduce evidence-based practices supported by the "What Works" literature (Fuller, 2001) meet and exceed the expectations of their legislators, ASD administrators have asserted that the organizational change was not caused by the legal mandate. ASD administrators informed the researcher that they were initially interested in making research-based changes in supervision practices prior to the advent of Senate Bill 267. In fact, ASD administrators assert that the unfunded mandate by Oregon policy makers has done nothing to assist them in their organizational change.

Evidence-Based Practices: "What Works" in the Reduction of Recidivism

To address the operational impact of the organizational change undertaken by ASD administrators, it is necessary to describe the practical elements of the strategy they have chosen. The following review of the "What Works" literature documents specific the operational practices that ASD administrators have used to define success and the research that they continue to use to make operational decisions.

The research that makes up the "What Works" literature (Latessa & Lowenkamp, 2006) describes the practical elements of the reform initiative in which ASD has engaged. This reform strategy has been driven by several problems faced by criminal justice scholars and corrections administrators. First, incarceration alone is commonly viewed by scholars as ineffective at significantly reducing recidivism and

may even make offenders more likely to commit crimes in the future (Latessa, 1999). Second, intermediate sanctions that do not take care to match offender populations with the appropriate behavioral sanctions are largely ineffective (Lowenkamp & Latessa, 2005). Finally, reform initiatives that demonstrate evidence of their success are needed in a criminal justice system that is currently overtaxed by an ever-increasing number of criminal offenders (White, 2006).

Criminologists (Andrews et al., 1990; Andrews, 1999; Dowden & Andrews, 1999; Latessa, 1999; Latessa & Lowenkamp, 2006) have identified rehabilitative treatment programs that demonstrate a greater effect on the reduction of recidivism than traditional incarceration and surveillance of offenders. Commonly known as the "What Works" literature[2], this research provides evidence for the effectiveness of supervision and treatment models that identify and address the criminogenic needs of offenders. Criminogenic needs are the risk factors that are correlated with an offender's likelihood of engaging in criminal activity. These risk factors include: "antisocial/pro-criminal attitudes, values, and beliefs; pro-criminal associates; temperament and personality factors; a history of antisocial behavior; family factors and low levels of education, vocational or financial achievement" (Lowenkamp & Latessa, 2005, p. 15).

Lowenkamp and Latessa (2005) have drawn upon their own research and the work of the other scholars in the field to provide recommendations for changes in community corrections practices that conform to "What Works" findings. Community

[2] The title, "What Works" is intended respond to the research of Martinson (1974), who asserted that nothing that had previously been tried demonstrated significant success in rehabilitating criminal offenders.

supervision, they argue, should be designed in such a way that offenders are mandated to engage in programs that have demonstrated success in alleviating as many of the previously listed risk factors as possible. In addition, probation and parole sanctions imposed for negative behavior should be based upon the ability of the supervising officer to stop the offender's negative behavior while enforcing a reengagement with positive behavior as quickly as possible. Offenders should be required to spend the majority of their time in treatment environments that demonstrate success in addressing criminogenic needs, in educational and vocational environments that support prosocial attitudes, and in contact with associates who do not engage in procriminal activities. Since custody sanctions (such as extended jail time) that do not include effective treatment programs fail to promote these activities, researchers argue that they should be used sparingly (Lowenkamp & Latessa, 2005).

Advocates of practices that focus on criminogenic needs (Gendreau & Goggin, 1996) argue that offenders should be evaluated using statistically validated risk assessment tools to determine their relative likelihood of reoffending and more efforts should be made toward the rehabilitation of those who have the greatest likelihood of making meaningful change in their behavior through intervention. This means that high risk offenders, who are unlikely to succeed on their own, should be required to engage in a greater level of supervision than low risk offenders who are likely to be successful regardless of intervention (Lowenkamp & Latessa, 2005). The implementation of these research-driven practices should involve a variety of cognitively based supervision and sanctioning techniques that have been demonstrated

to have a greater positive impact than surveillance and incarceration on motivating the greatest number of offenders to change their criminal behavior (Lowenkamp & Latessa, 2005).

The "What Works" research provides community corrections officials with realistic benchmarks for the levels of success that can be expected when specific types of treatment methods are applied to offender supervision. This information, in turn, can be relayed to state legislators who demand that corrections spending be justifiable to the public (White, 2005). Not only does this literature suggest a formula by which to evaluate the success of rehabilitative programs, it also clearly defines the elements that decision-makers should expect to find in effective programs. This can help decision-makers make budget allocations based on performance outcome expectations rather than the hope that the programs will be as effective as program managers claim. However, the research stops short at assessing the organizational variables that may affect the success of the large-scale implementation of "What Works" strategies (Joplin et al, 2004; Latessa, 2004). For example, the "What Works" literature provides scant evidence or advice regarding the organizational changes that are needed in order to maximize the effectiveness of various innovative practices.

To address organizational questions about how best to implement the operational practices described in the "What Works" literature, the researcher has considered the broad philosophical differences between surveillance-based community corrections practices and the evidence-based practices described above. The researcher asserts that, during the thirty-year period of surveillance-based practices

that resulted from mandatory minimum sentencing, a specific organizational culture is likely to have developed in support of those practices. Because the "What Works" practices rely on a decidedly non-surveillance method for defining success in community corrections, the researcher further asserts that the organizational culture necessary to support ASD's organizational change may be considerably different from the culture that supported previous practices. To identify the organizational variables that are important to test these assertions, the following sections review the literature in the field of public administration, and, more specifically, the organizational development literature that focuses on the role of the organizational culture in the change process. As mentioned previously, the goal of this review is to assist the researcher in identifying organizational variables that are important in assessing the effectiveness of ASD's organizational variables change to a "What Works" intervention strategy.

Defining the Organizational Variables: A Review of the Organizational Development Literature

The organizational culture and change scholarship in the field of public administration provides the theoretical framework, the organizational definitions, variables, and measurement tools that will be used for this research project. The following section describes the literature that this research draws upon to define organizational development and organizational culture. This is followed by a discussion of the importance of organizational culture across the scholarship in both organizational development and organizational change.

Organizational Change and Culture

French and Bell (1996) define organizational development as "a process for teaching people how to solve problems, take advantage of opportunities, and learn how to do that better and better over time" (p. xiii). It is, they assert, fundamental to the success of this process that both the organizational and the human goals and purposes be furthered through the management of the culture of the organization. This view of organizational development as "managing change" provides the theoretical foundation for this dissertation. More specifically, the researcher is interested in the importance of organizational culture as a fundamental element in successfully managing the change process.

In support of this assertion, Edgar Schein (1992), a leading scholar of organizational culture, argues that culture is an omnipresent, but often underestimated or ignored component of all organizations. Defined as the "accumulated shared learning of a given group, covering behavioral, emotional, and cognitive elements of the group members' total psychological functioning" (p. 10), culture provides the informal norms that direct human social interactions on a level that is stronger than formal rules and more lasting than any written policy. The organizational culture consists of the norms, values, and beliefs that make up the character of an organization. The role of the culture of a group or organization commonly becomes so fully integrated that its expectations are unconscious for the members. For that reason, Schein (1992) asserts, frequently only outsiders, who have not internalized the cultural expectations of the group, are able consciously to identify them. Schein (1992) further

argues that unless the culture of an organization is understood and taken into consideration, lasting change will be difficult if not impossible. That is not to say that no change can take place. As long as adjustments to the existing organizational structure are in line with the basic assumptions of the culture, limited operational corrections may be readily integrated into the organization.

However, the types of transformative systemic changes that tend to become necessary when an organization is facing crisis situations or fundamental organizational shifts, Schein (1992) asserts, require a reevaluation of the functional operations of the entire agency. This is because organizational culture provides the structural stability that creates patterns of behavior and the overall integration of the various elements that define the paradigm under which an organization operates. When transformative organizational change is necessary, basic cultural expectations will be called into question. Therefore, leaders who do not address culture level concerns are destined to either fail or struggle needlessly against hidden and complex social psychological factors larger than either the leader or the organization.

Schein is not alone in espousing the value of culture in organizational development efforts. Ott (1989) draws heavily on Schein's work in his argument for the inclusion of culture in the study of organizations. Even when culture is not the focus of the research, organizational development theorists draw on the concept as one of the cornerstones in assessing the success of organizational effectiveness, development, and change. For example, Alder and Kwon (2002) emphasize the development of social capital toward the mobilization of action. They define social

capital as "the goodwill that is engendered by the fabric of social relations and that can be mobilized to facilitate action" (p. 17). Although they argue that social capital itself should be considered based on the resources it can provide, they also posit that organizational culture as well as trust, and social support also result from it. Bartel (2001) points out that the strength of organizational membership for both internal and external actors is impacted by the unique organizational culture, which may serve to perpetuate or limit a perception of belonging for members and their clients.

Organizational culture is also a central consideration for students of organizational functions. For example, elements of culture influence the likely response of staff to basic orders from administrators (Follett, 1926). Both the methods used by administrators to give orders and the perceptions of staff regarding how orders should be carried out are influenced by the norms established within the organizational culture. Culture also defines much of the overarching rationality of decision-making toward organizational structure (DiMaggio & Powell, 1983; Lindblom, 1959; Ouchi, 1982). The variables that decision-makers use to make limited comparisons between possible organizational options are influenced by the established norms for organizational behavior (Lindblom, 1959). The informal cultural pressures exerted by members of the organization as well other organizations influence decision-making about how organizations will be initially designed and how they will evolve over time (DiMaggio & Powell, 1983). The resultant organizational structure will then shape how leaders define the choices that they make about the role of its members (Ouchie, 1982).

The importance of organizational culture is also apparent in the works of scholars whose research focuses on the role of leadership in achieving organizational change. Selznick (1984) argues that organizations have an inherent value laden, normative quality that makes them, in fact, social institutions. In the same way, leadership within an organization has an inherent value that goes beyond that of administration. The leadership culture provides the purpose and value that make it possible for the institution to function effectively. Kotter (1996) specifically argues that a failure to consider the existing culture will hinder leaders' change efforts. Kanter (1983) asserts that, in order to bring about change in organizational settings, leaders must institutionalize change in the fabric of the organization such that a culture of pride, innovation, and problem solving are supported. Further, organizational leaders must consider professional or occupational subcultures that reflect their own unique culture (Cameron & Quinn, 1999, p. 15) as well as the overarching organizational culture in their change efforts (DiMaggio & Powell, 1983; Greenwood, et al., 2002). Organizational Culture in Corrections Settings: Bridging the Gap Between Public Administration and Criminal Justice

Although organizational theorists have provided considerable insight into organizational change in general (Cummings & Worley, 2005; Doppelt, 2003; Wheatley, et al, 2003; French & Bell, 1996; Kotter, 1996; Scott, 1995; Senge, 1994; North, 1990; Morgan, 1988; Selznick, 1984; Kanter, 1983), they have not focused on change in corrections organizations. Even when correctional organizations are discussed (Feeley, 1973; DiIulio, 1987), it is with current structure and practice in

mind rather than the possibility of bringing about change. Therefore, not much is known about the processes of organizational change in correctional organizations.

Similarly, much theoretical and empirical research has been conducted regarding the elements of organizational culture that must be considered when bringing about organizational change (Schein, 1992; Cameron & Quinn, 1999). However, the study of corrections cultures has been limited to that of sociological analyses intended to elucidate the existing environment rather than to explore or encourage organizational change (Crawley, 2004; Liebling & Price, 2001, Carrabine, 2000; Liebling, 2000; Sykes, 1958). Thus, little is known about how best to define the organizational cultural variables that are meaningful to the process of organizational change in corrections environments.

The Importance of Organizational Culture Research in Corrections Settings

Corrections organizations are formal organizations through which individuals convicted of criminal acts are housed or supervised while serving a custody or community-based sentence imposed by a court of law. This definition is based on Scott's (1992) general assertion that organizations are "the primary vehicles by which, systematically, the areas of our lives are rationalized – planned, articulated, scientized, made more efficient and orderly, and managed by experts" (p. 5). This is consistent with Ouchi's (1982) characterization of formal organizations as those formal entities that "arise when technological conditions demand physical power, speed, endurance, mechanical adaptation, or continuity beyond the capacity of a single individual" (p. 29) or an informal organizational structure.

Corrections settings are specifically defined as prisons, jails, and community corrections agencies (Marion & Oliver, 2006). This research study focuses exclusively on community corrections, even though much of the supporting literature is drawn from studies about prison settings. Because of this special focus, some explanation is in order to justify using a cultural lens to shed light on organizational change practices within the community corrections setting.

Marion and Oliver (2006, p. 402-403) describe several broad characteristics that define the unique nature of corrections organizations. First, the primary purpose of corrections organizations is to punish and rehabilitate offenders once they have been convicted of criminal acts. Second, the populations served by corrections organizations are involuntary participants who, based on their criminal conviction and the resultant sentence, are forced to remain under the supervision and custody of the agency for a period of time. Third, the nature of the clientele requires the fulfillment of legal mandates that allow the limitation of individual freedoms. This makes necessary the presence of laws designed to insure that human rights violations such as inhumane treatment do not take place. Fourth, the nature of the corrections clientele and the public safety mission of corrections organizations require the staff to be trained in successfully managing potentially violent individuals who are forcibly restricted from leaving the confines of their criminal sentence.

The organizational cultures of community corrections agencies are a unique subset of corrections cultures that exist in prisons and jails. Even though the offender population served by community corrections is similar in that they have been

sentenced to serve a period of time under the supervision of the organization, the sentence is largely carried out in the community rather than in a correctional facility (Alarid, Cromwell, & del Carmen, 2008). This greatly decreases the amount of physical control that parole and probation officers have over offenders as compared with correctional officers. However, it also increases officers' discretion in deciding how best to supervise offenders (Cosgrove, 1994; Lynch, 1998; Petersilia, 2002; Schneider et al, 1996). Therefore, PPOs have the ability to limit their use of practices designed to support organizational change while still, technically, performing the duties required of them. If this is the case, PPOs can effectively halt the implementation of new practices. For the purposes of this dissertation, it is assumed that this difference has resulted in an organizational culture that warrants individual evaluation.

Correctional Organizations as Unique Cultures

Drawing upon foundational research on prison management (DiIulio, 1987) and inmate society (Sykes, 1958) as well as the perspectives of prison officers (Kauffman, 1988), more recent research in the sociology of prisons has re-awakened interest in the cultures that exist within prisons and other correctional settings. This has resulted in explorations of the role of and restrictions on the emotions that are culturally acceptable for prison officers to express (Crawley, 2004) and the practice of using informal rules as powerful discretionary tools for gaining compliance over inmates (Liebling, 2000; Liebling & Price, 2001).

Carrabine (2000) has taken a much broader view of the factors that need to be

taken into consideration when doing research within correctional settings. He argues that sociological research regarding prison life should include consideration of the macrosociological roles (ie. the value of punishment) that prisons perform in society as a whole as well as microsociological elements such as the internal dynamics in correctional facilities. This kind of research can be used to develop a greater understanding of what takes place within the organizational culture of correctional facilities and how they affect societal expectations of corrections practices. The doorway opened by these studies provides an important foundation for this research study on the relationship between organizational variables and community corrections practices.

As the community corrections administrators in ASD undertake innovative rehabilitative practices that increase public safety while making the best use of community resources, it is important that they develop change mechanisms that address the unique underlying culture that exists within correctional settings (see Cameron & Quinn, 1999; Schein, 1992). To accomplish this, ASD administrators need to acquire an appreciation of those elements of the organizational culture that may not be generalized to all of corrections. Mintzberg (1993, p. 165) has characterized prisons as machine bureaucracies based on a hierarchical organizational structure. Drawing upon the organizational culture types developed by Cameron and Quinn (1999), the hierarchical organizational culture is identifiable by the expectation that individuals will work within strictly defined units of operation under the specific guidelines of standardized decision-making authority, rules, and procedures.

However, the nature of probation and parole requires community corrections agencies to temper the strict hierarchical structure found in prisons and jails. For example, probation and parole officers have to fulfill a dual role that combines enforcement and rehabilitation within the community (Lynch, 1998; Schneider et al, 1996). The way that these contending roles are balanced can vary greatly from one organizational setting to another. This variation may manifest itself in differences in organizational structure, practices (Piehl & LoBuglio, 2005), and, therefore, culture (Schein, 1992). For these reasons, it is important to collect organizational culture data in community corrections organizations that captures the unique setting and its cultural manifestations.

Transformative organizational change is becoming increasingly necessary in community corrections settings. However, large scale change efforts will be difficult if not impossible if the organizational culture is not taken into consideration when change strategies are developed. Organizational culture theories provide both the scope for a full consideration of the existing practical realities in corrections organizations and the tools for analysis and change that are needed.

In this dissertation the qualitative (Schein, 1999) and quantitative (Cameron & Quinn, 1999) measurement tools developed by organizational culture theorists are used in conjunction with criminal justice research defining new practices (Lowenkamp & Latessa, 2005) to measure the operational effectiveness of a change initiative undertaken by ASD. The researcher draws from these sources to identify different organizational cultures operating within the ASD community corrections setting and to

develop a method for testing the impact of these cultures on the implementation of organizational change efforts. The literature that supports these techniques is reviewed in the following sections. The specific methodology employed for this research will be discussed in greater detail in Chapter III.

Measuring Success: Theories for the Evaluation of Organizational Culture

There is a growing consensus that organizational culture plays a key role in designing organizational structures and processes that are ideally suited to implement organizational change and sustain organizational effectiveness (Adler & Kwon, 2002; Bartel, 2001; DiMaggio & Powell, 1983; Follet, 1926; Kanter, 1983; Kotter, 1996; Lindblom, 1959; Ouchi, 1982; Scott, 1995; 1992; Selznick, 1984). However, there appears to be no agreed upon method for assessing the effectiveness of organizational culture (Zammuto & Krakower, 1991).

After extensive research on public and private organizations, Edgar Schein (1999; 1992) concluded that individual organizational cultures are unique and must be evaluated qualitatively rather than quantitatively. By this he means that organizational cultures should be considered as ungeneralizable case studies that may fall within an organizational structure type, but must not be compared with others for aggregate definitions of culture type.

One of the consequences of Schein's perspective is that it limits the ability of public administrators to benchmark their organizational practices and settings to other similar organizations (Zammuto & Krakower, 1991). To address this problem, organizational culture research employing quantifiable measures has been conducted

within a variety of settings (Cameron & Quinn, 1999; Woodman & Pasmore, 1991; Ouchi & Wilkins, 1985). In addition, several viable organizational measurement tools have been developed to assist private organizations to evaluate elements of their culture (Scott, Mannion, Davies & Marshall, 2003). The techniques used to conduct this research draw upon the theoretical foundations of Schein (1999; 1992) and Cameron and Quinn (1999) to produce a mixture of qualitative and quantitative methods. The resultant mixed methods design of the study will be fully outlined in Chapter III.

Summary of Literature Relevant to the Research Project

There are two bodies of literature that specifically bear on the focus of the research question at the center of this study: How do various organizational variables influence the successful outcome of reform initiatives at the operational levels of criminal justice practice? The criminal justice literature provides a thorough discussion of the environment in which corrections organizations exist. The public administration literature (specifically related to organizational culture and change) offers a theoretical framework for correctional reform on an organizational level.

Current criminal justice research is quite good in providing reformers with a solid understanding of the unique characteristics of corrections and other criminal justice settings. Some of this research focuses on criminal justice policies (Tonry, 2006). Others bodies of research focus on criminal justice practices (Travis & Petersilia, 2001; Wilson & Petersilia, 2002). There is a particularly large body of research that focuses on reform efforts in offender treatment programs and community

corrections agencies (Lowenkamp & Latessa, 2005). However, with few exceptions (Clear & Latessa, 1993; Feeley & Simon, 1992; Latessa, 2004; Lehman, et al, 2002; O'Leary & Duffee, 1971), this research only infrequently informs the evaluation of organizational processes.

There are two bodies of organization-centered literature that provide a corrective to this weakness in the correctional reform literature. The first is a generic body of research on organizational change, most frequently authored by scholars who focus on private business organizations (see Cameron & Quinn, 1999; Ouchie & Wilkins, 1985; Schein, 1992, 1999). The second body of literature that is relevant to criminal justice reform initiatives is the product of public administration scholars. This includes work on organizational culture, organizational change, decision-making, leadership, and organizational structure (see Cameron & Quinn, 1999; Schein, 1999, 1992; Adler & Kwon, 2002; Bartel, 2001; Follet, 1926; DiMaggio & Powell, 1983; Lindblom, 1959; Ouchi, 1982; Selznick, 1984; Scott, 1995, 1992; Kanter, 1983; Kotter, 1996). However, since the early 1970s[3] public administration literature has rarely been focused on the administration of correctional organizations (however, see DiIulio, 1987).

Corrections administrators serve an important role in public governance. As public administrators, they direct the organizational systems that ultimately carry out the constitutionally defined punishment that is legally imposed upon criminal offenders. Their decisions are directly linked to the legal and constitutional role they

[3] In 1971 Public Administration Review publics a symposium titled Five Pieces in Penology, which includes Carlson (1971); Conrad (1971); McGee (1971); Munro (1971); O'Leary & Duffee (1971); and Wilkins (1971)

play. However, corrections administrators have largely failed to capitalize upon their role as organizational change agents within the criminal justice system (Beto, 2007; Beto, 2004; Beto & Brown, 1999; Beto, Corbett & DiIulio, 2000; Beto, 2001; White, 2006). In order to maximize their long-term success on a large organizational level, it is important that corrections administrators be able to draw upon evaluative data to define their goals using valid knowledge of organizational dynamics (French, Bell & Zawacki, 2005). They should be knowledgeable about the expected goals of the strategies that they choose to implement, be able to evaluate organizational progress with an eye for realistic timelines, and articulate these successes (or failures) to legislators without fear of political reprisal (Latessa, 2004; Wilson, 2002, p. 556). This requires an appreciation of the cultural variables that impact organizational change (Cameron & Quinn, 1999; Schein, 1992; 1999) and a broad understanding of how organizational research can be used to inform criminal justice practices.

Evidence-based practices such as those outlined in the "What Works" literature discussed above (Lowenkamp & Latessa, 2005) are especially important for corrections officials because they require on-going evaluation of rehabilitative strategies (White, 2006). However, they do not provide instruction about how best to perpetuate the resultant practices within the organization and to facilitate needed organizational change (Latessa, 2004).

In recent years, organizational change has been the topic of applied literature in community corrections (Joplin et al, 2004; White, 2006). However, a review of the scholarly literature reveals little consideration of organizational variables in criminal

justice settings. There is little or no scholarship that connects current research findings in criminal justice to the organizational research in public administration. The criminal justice literature, which is useful in providing a rich appreciation of the environment in which correctional decision-making takes place, rarely examines organizational issues (for example Tonry, 2006; Wilson & Petersilia, 2002). The public administration literature that would help to identify relevant organizational variables is rarely evident in corrections settings (however, see DiIulio, 1987; Feeley 1973). The findings in each field are not used to guide and inform the work of the other. A combination of theoretical and applied research that combines both bodies of literature is needed to meaningfully address the issues that corrections administrators face when they attempt to initiate innovative reforms (Latessa, 2004).

The purpose of this research is to demonstrate the value of an evaluation of how organizational culture affects organizational practices. The following chapter describes the methods used to conduct this research.

CHAPTER III: RESEARCH DESIGN AND METHODS

The purpose of this dissertation is to explore the effect of organizational culture on efforts to initiate change in corrections organizations by testing the change initiative of one community corrections organization. The researcher is particularly interested in discovering the cultural variables that make meaningful differences at the first line supervisory level.

The literature review in the previous chapter has documented the conclusion that there is little evaluative data regarding effective organizational change in corrections organizations. This chapter provides a detailed description of the research setting as well as the research questions and hypotheses that follow from this setting. This is followed by a summary of the research strategy with a justification for the use of a mixed methods single case-study design. The last sections describe the data collection process with an explanation of the instruments used, the data sources, and their strengths and limitations.

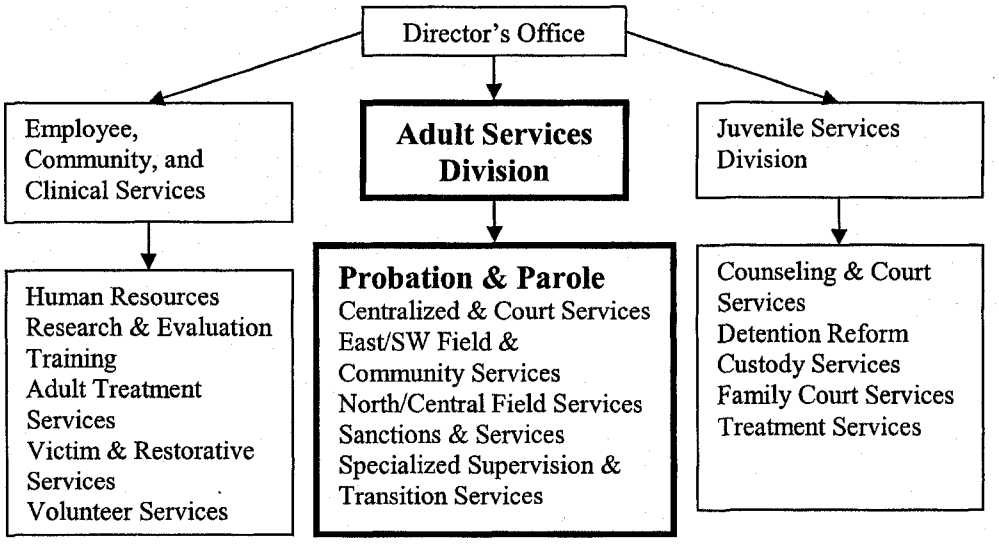
It is important to make clear that the researcher worked for ASD as a probation and parole officer (PPO) from 2001 to 2004. This professional experience strongly influenced the researcher's interest in community corrections as an organizational focus. Personal experience also contributed to a more detailed understanding of the study site than other researchers would have had. Although, at the time of this study, the researcher was no longer employed as a PPO and has no intention of returning to the profession, personal biases were expected. The researcher has made concerted

efforts to be self-aware of any pre-existing biases that could inappropriately influence the design and evaluation of the research findings in this study.

Case Study Site

This research was conducted in the Multnomah County Department of Community Justice: Adult Services Division (ASD) in Portland, Oregon. The Adult Services Division, the Juvenile Services Division and the Employee, Community, and Clinical Services Division make up the Multnomah County Department of Community Justice. Figure 1 illustrates the placement of ASD within the overarching organizational structure.

Figure 1: Multnomah County Department of Community Justice Organizational Structure



ASD is recognized as a national leader in using research-based outcome data to

redesign probation and parole practices and policies (Fuller, 2004). As part of their reform initiative, ASD administrators have undertaken systematic efforts to change organizational practices. Administrators informed the researcher that it is important that their organizational change be supported by the organizational culture. They base this assertion on their reliance on organizational literature, which argues that misalignment between intended goals and the organizational culture can limit the success of the change efforts (Fuller, 2001). However, prior to this study, administrators had not evaluated the organizational culture. Therefore, they have been unable to measure the effectiveness of their efforts at culture change and cannot demonstrate how the culture has impacted the redesign of probation and parole practices.

ASD is the largest community corrections agency in the state of Oregon. It is divided into approximately 19 supervision units that exist within the larger structure of the Department of Community Justice. At the time of this research, ASD employed 133 probation and parole officers who work with offenders who are assigned to supervision units by crime type and rehabilitative needs.

The "2007-2008 Budget Transmittal Letter" submitted by the ASD director to the Multnomah County Chair documents the most current information about the work that ASD is responsible for. This document also illustrates what ASD reports that it does. In the Transmittal Letter, the ASD director reported that the agency is responsible for the community supervision of 9,000 adult offenders on felony probation, parole, and post-prison supervision as well as 1,100 offenders on

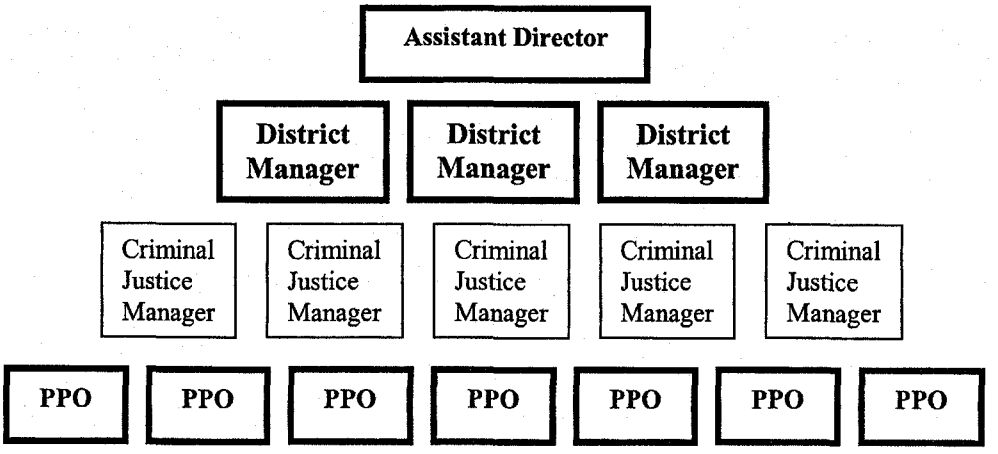
misdemeanor probation. In addition, members of the organization make jail release decisions in 16,000 cases per year to determine whether defendants can be safely released on their own recognizance, and supervise 3,000 defendants annually while they await trial. The Transmittal Letter further concludes that organizational practices over the past year have resulted in substantial increases in public safety as demonstrated by the reduction of recidivism by offenders under their supervision. The director attributes these positive outcomes to the use of the evidence-based risk-management tools that have formed the basis for the organizational reform initiative.

As discussed in Chapter I, for more than ten years, ASD has actively engaged in an organizational transition from a more traditional surveillance model of community supervision to a research-driven model that incorporates evidence-based risk management strategies. This transition, the director asserts, is based on the "What Works" literature (Lowenkamp & Latessa, 2005), which recommends using outcome-based research to redesign probation and parole policy and practices (2007-2008 Budget Transmittal Letter). As a result of using this research, ASD has abandoned its surveillance-centered supervision techniques and adopted the risk-based approach that is described in greater detail in Chapter II. While the research that supports this approach has demonstrated a decrease in recidivism for a greater number of offenders than has been the case with previous methods (Latessa & Lowenkamp, 2006), it requires considerable changes in the way in which parole and probation officers think about the practice of their work (Lynch, 1998; Schneider et al, 1996).

Figure 2 illustrates the basic organizational structure of ASD as it relates to the

administrative functional unit and PPOs. The administrative functional unit consists of the assistant director and the district managers who make up the strategic apex of ASD. The PPOs make up the operating core. In between the administrators and the PPOs are the criminal justice managers. Because this study is designed to test gather organizational data about the ASD administrators and PPOs, this group of middle managers has not been included in the research.

Figure 2: Adult Services Division Organizational Structure as it Relates to the Administrative Functional Unit and PPOs



ASD administrators have developed their organizational culture change efforts around the assumption that individuals will most readily accept new practices if they are informed about the intended change, if they are well trained in the use of new techniques, and if they are provided with praise for the successful implementation of new practices (Fuller, 2001). Therefore, ASD administrators have invested heavily in educating the staff on new techniques and benchmarking to encourage the acceptance

and implementation of the new practices and to provide data to demonstrate the attainment of practice goals (Rhyne, 2006).

ASD's primary tool for measuring implementation is the trimester report. Every three months PPOs are given a trimester report score based on the degree to which they have completed specific assessments of the offenders on their caseloads. The reports consist of completion data for three supervision tools, developed based on research-driven strategies for effective rehabilitation. The tools include: offender risk assessments, needs assessments, and caseplans.

Risk assessments are actuarially-based assessment tools that prompt PPOs to answer questions about offender characteristics, crime type, and crime frequency to determine the likelihood or risk of new criminal activity (Alarid, Cromwell & del Carment, 2008). Needs assessments are designed to identify the specific criminogenic needs that should be addressed with each offender. These criminogenic needs are the dynamic offender characteristics that have been correlated with a person's likelihood of engaging in criminal activity (Latessa & Lowenkamp, 2006). Caseplans prompt PPOs to enter information that they have collected during interactions with each offender to formulate a strategy for the most effective supervision of the offender based on offender risk, needs, and available resources. These three pieces of information are used as supervision benchmarking tools to ensure accountability, to build support for the reform initiative, and to ensure consistency of practices across the organization (Rhyne, 2006).

PPOs are required to complete the three assessments for each offender on their

caseload, and are expected to use the resultant information to make supervision decisions. For each of the three, PPOs receive a percentage score based on the number of assessments that they have completed. Although the completion rate for each type of assessment can be considered individually, the trimester report score is based on a combination of all three.

Research Objectives and Hypotheses

This study tests whether the PPO professional subculture has a significant effect on the implementation of operational tasks that are measured in the trimester reports. Culture is an important variable to measure because organizational change efforts that do not take the existing culture and subcultures into consideration face unnecessary challenges and frequently fail (Cameron & Quinn, 1999, p. 1; Schein, 1999; 1992). By comparing data obtained from PPOs with the cultural data drawn from administrators it is possible to test some important hypotheses regarding the influence of PPO professional subculture on the larger organizational change initiatives.

It is reasonable to assume that the existing PPO subculture is not in exact alignment with the overarching organizational culture based on the specificity of different tasks (Cameron & Quinn, 1999, p. 15) and professional training (DiMaggio & Powell, 1983) that PPOs receive. However, although the corrections administrators in ASD have required that PPOs engage in the practices dictated by the supporting research (see Lowenkamp & Latessa, 2005), they have not previously explored the

impact of organizational culture on their change efforts.

Further, corrections administrators may have an intuitive sense about the culture types that are most likely to make successful use of innovative strategies. These assumptions are based on their own beliefs and professional experiences (DiMaggio & Powell, 1983). However, they may be incorrect. For instance, administrators may expect that PPOs who seem to support a group oriented organizational culture would be more likely to support, and therefore use, innovative rehabilitative models rather than surveillance-based offender supervision techniques.

During initial meetings about the scope of this research, ASD administrative leaders informed the researcher that recent recidivism data collected by the Oregon Department of Corrections has demonstrated very low recidivism in some caseloads supervised by ASD PPOs who use strongly surveillance-based practices. This raised questions about whether the organization has been directing its efforts toward the perpetuation of a PPO professional subculture type that is less likely to produce optimal outcomes. It is possible that ASD could be even more effective at increasing public safety by shifting its focus.

This dissertation employs the Multnomah County Department of Justice: Adult Services Division (ASD) as a case study site in which three different research methods are used to explore the broad impact of cultural differences between the PPO subculture and the overarching organizational culture. First, the effect of the PPO subculture on the implementation of organizational change is measured by comparing organizational cultures survey results with trimester report completion rates. Next,

differences between the PPO subculture and the overarching organizational culture are measured using survey data designed to identify organizational culture based on several broad organizational domains. Finally, the unique characteristics of ASD's organizational culture that gives meaning to these differences are explored in detail using guided group interviews with ASD administrators.

The researcher poses the following two questions to explore the broad impact of cultural differences between the PPO subculture and the overarching organizational culture: 1. Does the PPO professional subculture operating within ASD affect the change agenda initiated by ASD administrative leaders? 2. Is alignment between the professional culture of PPOs and the organizational culture created by ASD administrative leaders important in fulfilling the operational tasks required for the organizational change agenda?

The first question is intended to be interpreted literally in that it asks whether PPOs specific cultural characteristics are, predictably, more likely than others to complete required tasks. The second question, however, is not so straightforward. It is intended to ask whether the anticipated cultural difference between PPOs and administrators is operationally meaningful. Therefore, the researcher hypothesizes that the PPO professional subculture can have a significant effect on the completion of operational tasks and still not result in a cultural alignment between the PPOs and the administrators. These questions served as the basis for generating the following hypotheses:

Hypothesis One: The PPO subculture operating within ASD does have a significant

affect on the administrative practices initiated by the organization.

Hypothesis Two: Alignment between the professional subculture of PPOs and the overarching organizational culture is relatively unimportant in the fulfillment of the administrative practices required in the organizational change agenda.

This study takes a first step in collecting data that can be used to develop organizational change theories that take into account the unique characteristics of the correctional setting.

Study Design

Selection of Cultural Subgroups

Like most organizations, the character of ASD is defined by an overarching set of values and norms that are deeply influenced by various subcultures based on operational subunits. Within complex organizations, subunits are created based on such considerations as location, work function, production requirements, and teams (Cameron & Quinn, 1999, p. 15; Schein, 1992, p. 315-316). These organizational structures reflect strategic administrative decisions about how best to create and coordinate divisions of labor that will maximize the attainment of the larger organizational goals (Mintzberg, 1993, p. 2).

ASD has created the following system of subunits to maximize the achievement of their organizational reform objectives: administration, probation and parole enforcement, rehabilitation counseling, and office support. All of these functional activities are essential to the workings of the organization. It is important to

consider that each subunit may have a very different subculture from that of the overarching organization (Cameron & Quinn, 1999, p. 15). Therefore, there is value in the evaluation of how each unit affects the operation of the organization as a whole. However, the focus of this research is restricted to the study of the ASD administrative subculture and the PPO professional subculture, with an eye to the impact of the overarching culture on the functions of PPOs and vice versa. The following paragraphs describe the reasons for this focus.

There are two reasons for limiting this study to the impact of the PPO subculture on the larger reform initiatives of the organization. The operating functions of PPOs are: 1) visible and 2) quantifiable. PPOs are more visible than other subgroups because, within ASD, the work of PPOs constitutes the tasks for which the organization was designed. PPOs are the sworn officers of the Court who are legally mandated to enforce probation and parole sentences to increase public safety and promote offender rehabilitation (Oregon Revised Statutes 137.620; 137.630). PPOs maintain custody over adult persons convicted of criminal offenses and sentenced to serve a term of community supervision. Their professional subculture can be expected to influence the overarching organizational culture (Cameron & Quinn, 1999, p. 15; DiMaggio & Powell, 1983, Schein, 1992, p. 315-316). For this reason, it is asserted in this research that the PPO professional subculture has a greater impact on the overarching organizational culture as compared to support staff and rehabilitative counselors.

In addition to the visibility of PPO functions, the operational tasks involved in

the supervision of offenders results in data that is regularly collected by the organization. These data provide quantifiable evidence of whether PPOs have increased their use of the operational tasks designed to facilitate the organizational change toward evidence-based practices. Thus, the effectiveness of PPOs at ASD is measurable.

After testing the effect that the PPO professional subculture has on the completion of tasks designed to measure compliance with the organizational change initiative, this research next compares the PPO professional subculture to the larger organizational culture. For this stage of the research, the administrative functional unit is used as the surrogate for the overarching organizational culture created by the ASD administrative leaders. In ASD, the administrative subunit represents what Mintzberg (1993, p. 9-11) calls the strategic apex. The administrators' decisions have formed the basis for operations level policy initiatives and the systems that sustain these initiatives over time. In this case, the administrative subunit that created the organizational change initiative has remained largely intact since the mid 1990s and has served as the watchdog to insure that their change initiative succeeded.

An argument against using the administrative functional unit as a surrogate for the overarching culture can be made based on the expectation that the administrative subunit has its own unique subculture (Cameron & Quinn, 1999, p. 15). However, it is also through the policy level decision-making of the organizational leaders who make up the administrative subunit that the overarching organizational culture is developed (Schein, 1992, p. 209-294, 1999). In effect, the values, norms, and beliefs

of the organizational leaders can be assumed to have defined the organization's culture (Schein, 1992, 1999). Therefore, a survey of the organizational culture of the administrative subunit is an appropriate proxy measure for the overarching organizational culture.

Rationale for a Mixed Methods Case-Study Strategy

The goal of this study, coupled with the characteristics of the organizational site, make a mixed methods single case study strategy appropriate. A mixed methods research strategy uses data collection techniques that are associated with both quantitative and qualitative research (Creswell, 2003). Mixed methods techniques are necessary to gather the full range of culture data necessary to inform this research.

A case study is "an empirical inquiry that investigates a contemporary phenomenon within its real-life context" (Yin, 2003, p. 13). The case study design makes it possible to explore, describe, and explain the complex social and organizational phenomena that occur within the agency while also incorporating both qualitative and quantitative analytical techniques (Yin, 2003). As pointed out in the literature review in Chapter II, little research has been conducted on an organizational level in corrections settings. The type of exploratory research that can be conducted through a single case study is, therefore, appropriate for this study. Although case studies are limited in their generalizability, ASD is an appropriate site for case study research because it is both typical and a-typical of other community corrections agencies.

The Unique and Generalizable Qualities of ASD

ASD is a good candidate for this research because it combines organizational characteristics that are both similar to and unique from other community corrections agencies. Therefore, this research can be used to evaluate ASD as well as inform practices in other agencies. The traits that make ASD similar, and which makes this research somewhat generalizable to other community corrections agencies, are illustrated by its broad organizational characteristics and the professional attitudes of PPOs. Like other community corrections agencies in the country (Alarid, Cromwell & del Carmen, 2008), ASD is dedicated to increasing public safety by holding criminal offenders accountable for their behavior in a manner that is most likely to result in rehabilitation (ASD mission). Therefore, as has been the case in a growing cohort of probation and parole departments (Joplin et al, 2004; White, 2006) organizational leaders in ASD have drawn upon research in the field of criminology (Lowenkamp & Latessa, 2005) to define the methods for accomplishing public safety goals.

The professional PPO subculture in ASD also has characteristics that are typical of similar community corrections organizations. PPOs and administrators interviewed for this study told the researcher that PPOs at ASD have been dubious about the organizational change agenda from its inception. This supports the findings found in existing studies that assess PPO attitudes in response to the implementation of risk assessment tools (Lynch, 1998; Schneider et al, 1996). Like their colleagues in California (Lynch, 1998) and Oklahoma (Schneider et al, 1996), PPOs in ASD express concern that many of the change strategies employed are counter to their PPO

professional goals. The researcher has frequently observed ASD PPOs to comment that they spend more time filling out the forms required to track their use of the new strategies than working with offenders. Whether there is any empirical support for this assertion is less important than the fact that this attitude is similar to PPOs in other locations who often place more value on the use of their own discretion to supervise offenders than on the techniques required of them by organizational administrators (Lynch, 1998).

The characteristics that make ASD unique from other organizations make it an important site for research because its innovative strategies can be used to inform practices in other locations. ASD is a-typical because of its long-term dedication to the organizational change strategy. For more than a decade, administrators have been committed to the implementation of evidence-based practices as a result of their reliance on the "What Works" (Lowenkamp & Latessa, 2005) literature (Fuller, 2004). Administrators have remained committed to multi-phase organizational change initiatives that have been supported by the collection of a considerable amount of operational data. In addition, formal goals demonstrate a strong desire to move the organization to more innovation through strong leadership and evidence-based research (ASD mission). Although other community corrections agencies have engaged in similar change processes (White, 2006), few have collected such an extensive pool of longitudinal data (Rhyne, 2006) or sought the ongoing evaluation of organizational practices (Fuller, 2004).

The Use of Mixed Methods to Evaluate Organizational Culture

A mixed methods research design is important in this study because culture research requires a description of the unique elements that make up the organization's culture through a consideration of variables that are not easily quantifiable (Schein, 1999, p. 59-60; Zammuto & Krakower, 1991). Research (Zammuto & Krakower, 1991) demonstrates that well written quantitative analyses of organizational culture can result in significantly similar outcomes to thorough qualitative studies. Many scholars agree, however, that a mixed methods analysis of organizational culture will provide the most vivid picture of the environment and result in the most beneficial information (Jelinek, Smircich, & Hirsch, 1983; Jick, 1979; Zammuto & Krakower, 1991). The research design of this dissertation follows current practice by drawing upon both the qualitative (Schein, 1999) and quantitative (Cameron & Quinn, 1999) variables developed within the organizational culture evaluation literature to define an analysis using mixed methods.

The theoretical foundations and quantitative research of Cameron and Quinn (1999) were specifically designed to measure and allow comparisons between organizational cultures in order to make generalizations to inform organizational change initiatives. The qualitative organizational culture theories developed by Schein (1992, 1999) were designed to capture the unique qualities of an organizational culture in great detail to inform the specific change initiative within one specific organization. When combined, these quantitative and qualitative analyses of organizational culture give a vivid picture of the overarching cultural environment.

Cameron and Quinn (1999) argue that organizational culture data that cannot be used to inform the effectiveness of operational practices is limited in its ability to assist organizational decision-making. Therefore, culture surveys that produce data that give administrators a snap shot of the current organizational culture and the culture that organizational members would prefer should be used to direct change and identify problems (p. p. 16-17).

Schein (1999, p. 59-60), on the other hand, argues that organizational culture surveys only tell a small part of the organizational story. To understand the impact that culture has on the change effort, it is essential to conduct qualitative research that does not easily lend itself to statistical analysis (Schein, 1992). Rather than facilitating the collection of data that can be used to compare the subject organization to others or to make broad generalizations cultural characteristics, Schein treats each organizational culture as completely unique and independent. To this end, Schein's methodology requires that administrators participate in a group interview guided by the researcher. Through group exercises designed to identify their organization's underlying shared cultural assumptions, administrators gain insight into how their organizational and professional cultures affect their organizational change efforts.

A thorough explanation of how the data collection instruments developed by Cameron and Quinn (1999) and Schein (1999) are used in this research is contained in the later sections of this chapter.

For this study, an agency-wide dedication to self-evaluation makes it particularly important that this study of ASD pose probing questions in addition to

quantifying the characteristics of the organizational culture. This organizational analysis is designed to discover factors that make meaningful differences at the first line supervisory level. With this dual purpose in mind, the research is designed to capturing some of the more elusive cultural elements that are unique to the organization (Schein, 1992) in addition to using culture data to measure operational effectiveness (Cameron & Quinn, 1999).

In addition to increased opportunities for organizational introspection, the combination of quantitative and qualitative methods gives operational meaning to the culture data. In machine bureaucracies such as ASD, a disconnection between the strategic apex and the operating core is common (Mintzberg, 1993, p. 185). More specifically, in community correction agencies, PPOs and administrators frequently disagree about organizational practices (White, 2006). Further, this researcher has personally observed and been informed by both administrators and PPOs that they are aware of the disconnection between the two groups. Therefore, culture survey data only demonstrates a difference between the overarching organizational culture and the professional subculture of PPOs would simply support the existing assumptions of organizational members. This is why it is also necessary compare culture data with operational data. By comparing measures of culture with measures of productivity, the research findings will have immediate importance to the daily activities of PPOs and administrators.

Research Strategy

This research was conducted using a mixed methods single case-study design

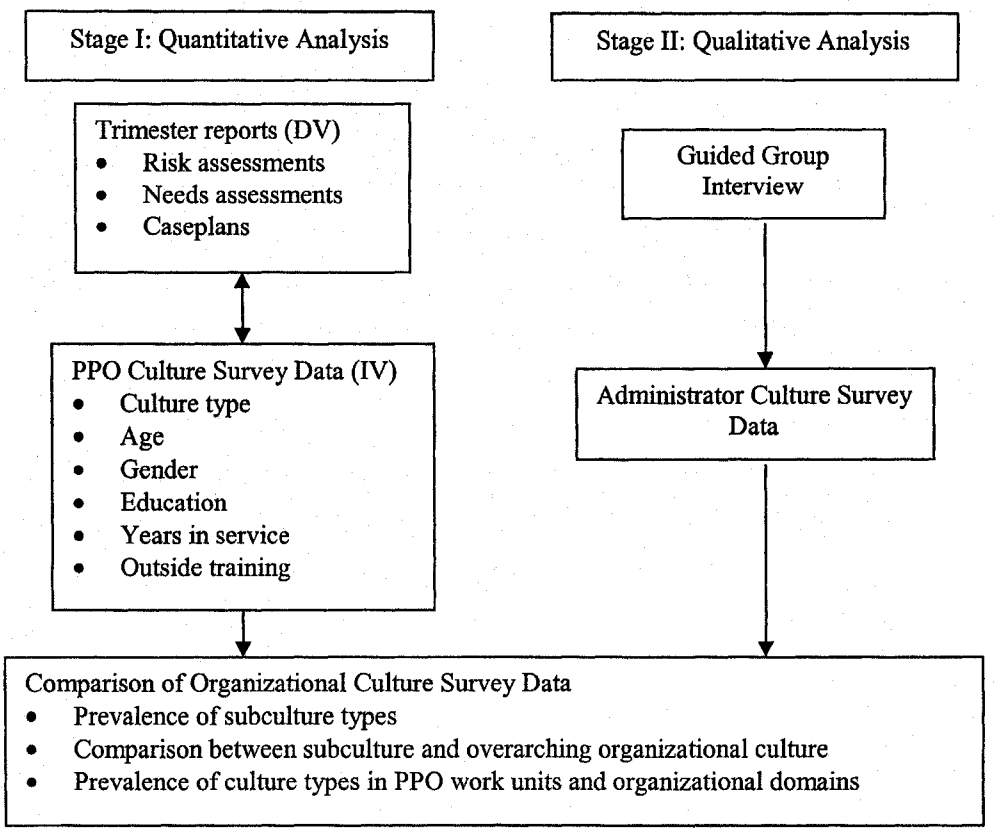
to evaluate primary data collected in two stages. Quantitative measurements of operational effectiveness have intentionally been juxtaposed against qualitative measures of the unique organizational culture espoused by ASD administrators. Both the qualitative and quantitative data collected produce research findings that can stand alone to provide useful information about the organizational culture at ASD. However, as described above, the study is based upon an assumption that organizational culture research is most useful when unique organizational culture characteristics (Schein, 1992) are informed by empirical data regarding organizational effectiveness (Cameron & Quinn, 1999) through a meaningful combination of both (Zammuto & Krakower, 1991).

The methodological problem that may arise from this research strategy is that the qualitative and quantitative findings must be meaningfully linked to each other. If this does not happen, the study will produce two separate and independent sets of findings that are only connected by their placement in the same piece of research. In this research, the organizational culture survey data obtained from both the PPOs and the administrators will serve as the unifying mechanism to link the two pieces of information. Through a graphic representation of the aggregate responses of both participant groups, comparisons are easily drawn between the analysis of operational effectiveness obtained in Stage One of the research and the discussion with administrators in Stage Two.

As described in the following sections, this mixed methods approach was carefully designed to facilitate a comparison between quantitative and qualitative data

regarding organizational culture to inform administrative decision-making. Figure 3 below illustrates the two-stage design of this research.

Figure 3: Organizational Change In Corrections Organizations - Study Flowchart



Methods

This section explains the two-stage research design in greater detail. Sections that follow describe the data drawn from the subculture groups that comprise the focus of this study and explain the instruments that were used to collect the data.

Stage One: Impact of PPO Professional Culture

In Stage One, data are collected to address the first question posed in this

study: How does the PPO professional subculture operating within ASD affect the change agenda initiated by ASD administrative leaders?

Stage One of this study consists of a quantitative analysis designed to test the effect of the PPO professional subculture on the change agenda initiated by ASD. This portion of the study is not intended to answer questions about the elements of the PPO professional subculture. Rather, it is used to determine whether PPO culture types affect the operations level practices that ASD administrators have used to benchmark organizational change. Data collected from organizational culture surveys (independent variable) are compared with data collected from PPO trimester reports (dependent variable) using an ordinary least squares regression analysis.

Stage Two: Importance of Subcultural Alignment

In Stage Two, data are collected to address the second question posed in this study: How important is the alignment between the professional culture of PPOs and the organizational culture created by ASD administrators in the fulfillment of the tasks required in the organizational change agenda?

Stage Two of this study is a qualitative analysis of the administrative functional unit, which is used as a surrogate for the overarching organizational culture. This allows the researcher to determine whether the overarching organizational culture and the PPO professional subculture are operating at cross-purposes. It is designed to draw out the more subtle elements of the overarching organizational culture.

During Stage Two, administrators participated in a guided group interview (Schein, 1999, p. 59-69) to identify the underlying cultural assumptions that drive their

decision-making. These data shed light on the characteristics of the organizational culture that are not apparent to those within it and explains the culture to outside observers. Data collected during the group interview also helped administrators to view their own culture objectively and identify the impact that the existing culture has on the implementation of organizational change strategies.

Just as every other member of the organization, administrators are influenced by organizational culture (Schein, 1992). Whether they are aware of it or not, their actions are determined by their culturally defined assumptions about the types of values, norms, and behaviors that they consider to be most effective in the integration of the components of the desired organizational outcome. Administrative decision-making is also affected by experience, education, environment (DiMaggio & Powell, 1983), and the quality of information available (Mintzberg, 1993, p. 185; Simon, 1947).

Therefore, one can reasonably assume that corrections administrators will be more inclined to support organizational practices that perpetuate their own cultural expectations than the PPO professional subculture in their decision-making (DiMaggio & Powell, 1983; Mintzberg, 1993, p. 185; Simon, 1947) unless they receive information that encourages them to act otherwise. It is also reasonable to assume that corrections administrators will perpetuate their own organizational culture because they consider it to be effective. In the absence of evidence to refute this assumption, they will continue to support it. For this reason, it is important for ASD administrators to be aware of the impact that decisions based on their own culture may have on the

professional subculture that is most directly responsible for the implementation of the organizational change agenda.

To facilitate a direct comparison between the overarching organizational culture (as defined by the administrative functional unit) and the PPO subculture, it was necessary to introducing a common vocabulary of culture types into the research. Therefore, ASD administrators were also completed the same organizational culture survey that the PPOs completed in Stage One.

Data Collection Instruments

The data collected for this study is primary source survey and interview data. For that reason, it has been approved by the Portland State University Human Subjects Research Review Committee.

As a case study, the research provides a wide range of data from the subject organization. The sources of evidence commonly collected in case study research include: documentation, archival records, interviews, direct observations, participant observations, and physical artifacts (Yin, 2003). For the purposes of this research, historical and current documentation of the organizational change initiative, articles written by organizational administrators and published in professional journals, interviews, and the physical artifacts collected through surveys and practice data have been collected. However, the primary data collection instruments were the organizational culture survey (Cameron & Quinn, 1999) and the guided group interview (Schein, 1999).

Organizational Culture Survey

The organizational culture survey (Appendix A) is used to determine the prevalence of specific culture types (hierarchy, market, clan, and adhocracy) within the PPO subculture and the overarching organizational culture represented by the administrative subunit. It serves three functions in this research. First, in Stage One, it provides comparison data (the independent variable) with PPO trimester reports (the dependent variable) in a regression analysis. Second, in Stage Two, it is used to make direct comparisons between the PPO subculture and the overarching organizational culture. Finally, it provides stand-alone information that is used as a snap-shot to graphically illustrate differences and similarities between the two groups.

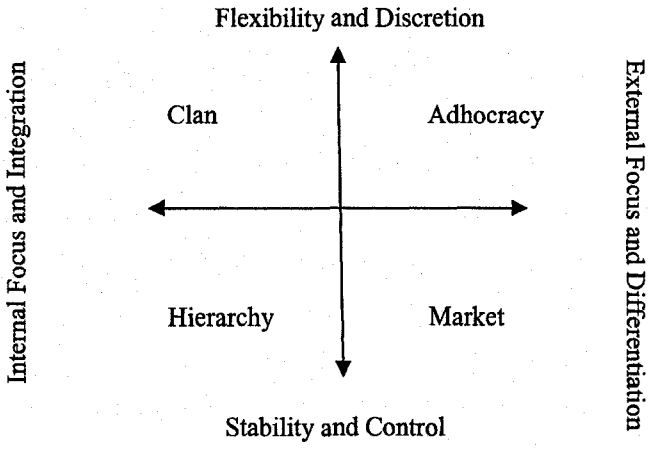
Several survey tools have been developed for the collection of organizational culture data (Scott, Mannion, Davies, & Marshall, 2003). The survey developed by Cameron and Quinn (1999) was selected as the most appropriate for this research because of its generalizability to a variety of organizational settings and its brief, flexible format. Cameron and Quinn (1999) have made extensive use of the Competing Values Framework (Quinn & Rohrbaugh, 1981) for the evaluation of organizational culture. The authors (Cameron and Quinn, 1999) use four major culture types: hierarchy, market, clan, and adhocracy, to evaluate how organizational culture impacts desired outcomes.

Cameron and Quinn (1999) define their four organizational culture types in the following way. The *hierarchy culture* is based on the stability of the environment, the tasks and functions, the products and services, as well as the workers and jobs that

make up the organizational structure. It is characterized by a high level of stability and control as well as an internal focus. The *market culture* draws upon the concept of transaction costs and assumes that the organization functions internally similar to the principles of the external market. While it is also a culture of stability and control, it focuses on transactions (primarily monetary) with external constituencies and places value on competitiveness and productivity. The *clan culture* is characterized by a high level of flexibility and discretion as well as an internal focus because it is based on the belief that employee development and teamwork as well as a partnership with customers is the best method for organizational development. Finally, the *adhocracy culture*, which is highly flexible and allows for considerable discretion while holding an external focus, is designed to work within the hyperturbulent, hyperaccelerating corporate workplace of the modern era. As such, it is based on a need for innovation, organized anarchy, and disciplined imagination in an effort to maintain success within a rapidly changing environment that must provide new products and services at an ever-increasing pace.

In their organizational culture survey tool, Cameron and Quinn (1999) exemplify the four culture types through broad statements that describe organizational characteristics. Participants are asked to score each statement based on how closely they believe it approximates the organization in which they work. Figure 4 illustrates how the characteristics of each culture type demonstrates the level of flexibility and discretion versus stability and control within the culture as well as the internal focus and integration versus external focus and differentiation in each.

Figure 4: Competing Values Framework



Source: Cameron, K.S. & Quinn, R.E. (1999). *Diagnosing and Changing Organizational Culture.* Prentice Hall.

This instrument has been validated across a variety of organizational settings. For this research, however, the most important quality is the survey's applicability within corrections organizations. Although the survey tool was not specifically designed for correctional organizations, these culture types are appropriate for an organizational evaluation of ASD because they force the respondents to consider ASD using organizational characteristics that are not stereotypically associated with corrections organizations. This requires a consideration of their own culture from outside of their usual perspective, which facilitates a more objective evaluation[4]. Since PPOs must balance their rehabilitative and surveillance skills, it is appropriate to ask them to what extent they believe that the culture of ASD is hierarchical rather than

[4] Although Edgar Schein (1999) would argue that a quantified survey tool such as this is an inappropriate method to facilitate this sort of cultural evaluation (p. 60), the researcher's argument draws upon Schein's assertion that members of an organizational culture are unable to observe many elements of their own culture unless aided in doing so through the use of mechanisms that accentuate inconsistencies (p. 63-68).

clan like. Further, in light of the organizational change initiative that has been taking place in ASD for more than ten years, considerations of market and adhocracy culture types provide a measurement of the stability that PPOs perceive in the organization.

The structural elements of the survey tool also make it appropriate for this research. One advantage is that the tool is relatively short, consisting of only six questions that require respondents to consider organizational subpractices. Cameron and Quinn (1999) argue that these subpractice categories, which consist of: culture as it relates to dominant organizational characteristics, leadership, management of employees, measures of success, strategic emphasis, and the glue that holds the organization together, successfully capture the overarching organizational culture.

The survey also avoids the complexity of other cultural assessment tools, which rely on over one hundred multiple-choice responses to gather information. Even though the survey still requires respondents to carefully consider their answers, the limited number of questions makes the overall format more concise. This is appropriate for PPOs as well as ASD administrators because their schedules do not allow for lengthy time periods away from their work.

Finally, the survey design facilitates considerable flexibility in participant responses and incorporates a comparison between the current culture and the organizational culture that the respondent would prefer. Each question requires that respondents divide 100 points among four statements illustrating culture types. Rather than simply requiring a rank-ordering of the culture types in ASD, this allows participants to indicate the degree to which they feel that each statement illustrates the

circumstances they observe. Respondents are asked to answer each question based on how they perceive the organizational culture now and how the culture would be if it were perfect.

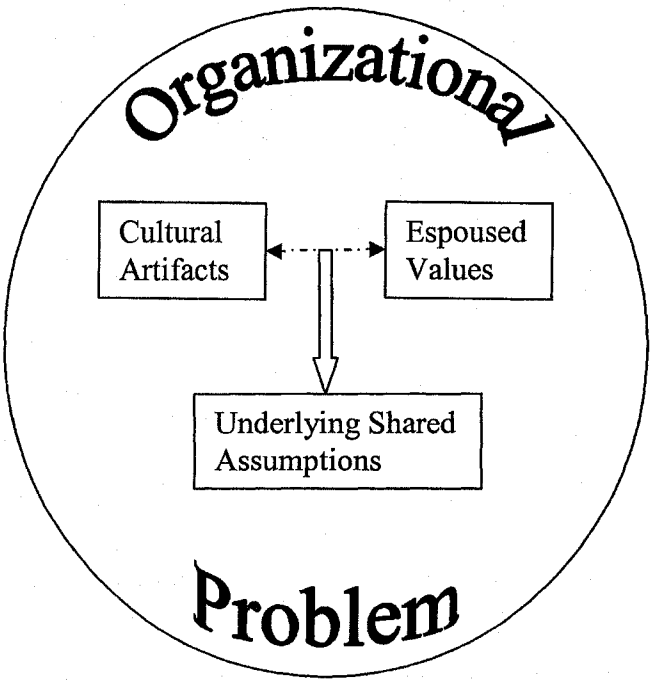
Guided Group Interview

A guided group interview is the key data collection method for Stage Two of this study. It uses the framework developed by Edgar Schein (1999) (Appendix B) to elicit qualitative organizational data from ASD administrators. Schein has validated this research methodology through its use across a wide variety of organizational settings. It was deemed appropriate for this research because it facilitates a multi-layered discussion among administrators that enables the researcher to draw out participant perspectives on the organizational culture and to "test" administrators' views by highlighting inconsistencies between what the organization claims to be doing and what is actually taking place. This is especially appropriate for ASD since the organizational leaders were eager to participate in the research project and use the results to guide future organizational change efforts. However, this support also creates a potential disadvantage. The proactive attitude of the administrators may hide culturally based organizational difficulties. For example, the statements that administrators make about their openness to questions from staff about organizational practices may not be operationally true. The qualitative interview process helps to overcome this problem by assisting the participants to identify their own biases and inconsistencies.

The functional subunit of administrators consists of a small group of decision-

makers who are dedicated to the change effort. They have led the organizational change effort since its inception more than ten years ago. The open-ended quality of Schein's approach to the study of the organizational culture provides an opportunity for the researcher to assist the participants in the consideration of their culture. Further, the group (rather than individual) interview strategy facilitates a give and take between participant perspectives toward the goal of understanding cultural nuances that are meaningful to the administrator and not just the researcher. This strategy enabled the researcher to use a conversational format to probe the participants for deeper understanding of organizational culture that included such dimensions as organizational artifacts, espoused values, and underlying shared assumptions. Figure 5 illustrates the manner in which this is accomplished.

Figure 5: Illustration of Schein's Guided Group Interview



Before beginning the group discussion, the administrators were asked to identify an organizational problem that relates to the change initiative. By providing an authentic concern to be addressed, this became the focal point for the entire discussion. Participants were then asked to describe the ASD organizational culture through its artifacts. *Cultural artifacts* are the visible organizational structure and processes (Schein, 1999, p. 16). Administrators selected the artifacts that they all agreed most effectively represent ASD and explained the reasons why these artifacts exist. This helped to determine what keeps the organizational values in place. Next, the group focused on the *espoused values* – strategies, goals, and philosophies of the organization as represented by the formal mission and values statements (p. 16).

While both the organizational artifacts and espoused values are relatively simple to see or identify because they make up the public face of the organizational culture, the underlying assumptions that most directly affect the norms, values and beliefs of ASD are not as obvious (Schein, 1999, p.19). The group was asked to consider inconsistencies between the cultural artifacts and the espoused values that they had previously identified. By doing this, it was possible to shine a light on the differences between what administrators want to happen and what is actually happening in ASD. In this manner, the researcher was able to probe more deeply to discover the underlying shared assumptions that are really governing the organizational behavior as it relates to the change agenda.

Having identified some of the elements of the organizational culture that affect the organizational change initiative, administrators were next asked to consider how

the underlying shared assumptions help or hinder the organization in successfully solving the defined problem. It is easier to strengthen the existing culture than to change it (Schein, 1999, p. 115). Therefore, administrators were asked to focus on the underlying shared assumptions that help solve the problem that they had initially agreed to focus on as much as possible. ASD administrators were able to identify many cultural elements that may limit the attainment of defined organizational goals. They also identified positive elements of the culture that can be drawn upon in order to change or overpower the negative elements.

Data Sources, Strengths, and Limitations

Stage One Data Collection

Stage One of this study focuses exclusively on data drawn from PPOs. It includes the comparison of trimester report data (DV) with organizational culture survey data (IV) using a regression analysis.

Organizational Culture Survey. Over a two-month period, the culture survey was administered, during regularly scheduled unit meetings, to all PPOs (N=133) who wished to participate (total PPOs n=81, trimester comparison PPOs n=66). The survey included close-ended quantitative questions as well as spaces for further comments as desired. In addition, demographic information (i.e. age, gender, education, time in service, and training outside of ASD) was collected. Although demographic variables were not expected to significantly affect completion of elements of the trimester report, they were included as a control against overlooked mediating effects on the dependent variable. The data collected from the culture surveys are important because

they provide information about the characteristics and prevalence of PPO subculture types within the organization. However, there are also drawbacks to collecting the data in this manner.

Although the requirements for research conducted on human subjects is designed to alleviate many of these concerns, PPOs may have felt that participation or lack of participation in this study could affect their employment or potential for promotion. In addition, although the time needed for participation in this study is minimal, PPOs may have felt that it took them away from their work. For that reason, the safeguards used to protect the subjects of this study were focused on the protections of their confidentiality and expediting the process.

As mentioned above, the surveys (and informed consent forms) were provided to probation and parole officers at their regularly scheduled unit meetings. Each participant was given an identification number to write on the top of the survey. The identification numbers were assigned by the researcher using a master list of PPOs. The identification numbers themselves are not associated with any other identifier (e.g. social security number or employee number). They were only used to pair culture survey data with the PPOs' unique task related data (trimester reports) while maintaining participant confidentiality.

Careful consideration was given to how best to present the surveys. The decision to hand surveys out personally, as opposed to sending them to PPOs electronically via email, was made following discussions with ASD administrators, PPOs, and other researchers with experience in this field. Several concerns were

raised. These concerns will be discussed in the following paragraphs.

The validity of this survey tool has been tested (Cameron & Quinn, 1999) in a variety of organizational settings, however, the reliability of the data may be compromised by self-selection bias. ASD conducts frequent surveys of staff on all levels. The researcher was informed that the response rate is seldom high. For this reason, concerns were raised that few PPOs would complete the survey if it were viewed as unimportant to their work. The presence of the researcher to explain the research and answer questions was deemed the most appropriate method to ensure that PPOs had enough information to make an informed decision about whether the survey was of value to them. This appears to have increased the participation of PPOs who would have otherwise declined due to lack of interest.

It was also important to consider that PPOs are exceptionally busy. Even though all parties with whom the researcher spoke believed that PPOs were likely to be willing to participate in this study, PPOs were also unlikely to feel that they had time to read the informed consent form and instructions and complete the survey (approximately 30 minutes). It was agreed that the most expeditious method for informing the PPOs about the survey and the consent form would be for the researcher to deliver all of the information in a presentation format after which PPOs would be able to complete the survey if they chose to do so and hand it in immediately. Even so, this initially raised questions about self-selection bias toward participants who are either particularly likely to fill out any survey and those who wished to use the survey as a method to express biases against administrators. However, the survey process did

not seem to support this concern. Participation appeared to be more a factor of presence in the unit meetings than anything else. This is discussed in greater detail below.

Other concerns regarding the reliability of the survey are based on the public nature of the survey technique in that it took place during unit meetings in front of other PPOs. Based on the experience of this researcher as well as all parties questioned, the PPOs were not expected to feel pressured to fill out the survey based on the presence of the researcher or the other study subjects in the room. In support of this expectation, PPOs who declined to participate (n=3) excused themselves from the room or simply sat quietly while others completed the survey with what appeared to be no discomfort. Very few PPOs declined to participate, and participants informed the researcher that they would not have felt uncomfortable in doing so.

The format of the written survey did not raise concerns about a lack of confidentiality for the subjects who filled it out in the same room with each other. The PPOs indicated that they did not feel at all uncomfortable with filling out the survey in the presence of others. During the process of data collection, PPOs indicated to the researcher that they felt comfortable with the precautions that were taken to protect their confidentiality. Further, participants commented that they believe that electronically administered surveys would not have been confidential even if no name is required on the survey because the method of distribution is via email, which can be used to identify the respondent.

Although the timing of data collection did not seem to cause any difficulty,

more data could have been collected if the duration of the study had been increased from two months to four. This assumption is based on the researcher's observation that the response rate was reduced more by a lack of attendance at unit meetings than a tendency of participates to decline to take the survey. If all PPOs could have been in attendance at unit meetings and the level of participation remained the same, the response rate would have been approximately 95% percent. Lacking evidence to the contrary, it appears that the primary reason for lack of response was that the subjects were simply not in attendance at their unit meeting due to vacation, absence from work, or other training. Although several attempts were made to contact PPOs who were not available for the unit meetings (all indicating that they would be willing to complete the survey), PPOs who did not have time specifically designated for taking the survey were unable to make time from their work to do so on short notice.

On the other hand, it is also important to consider that extending the survey collection process to include more PPOs may have had negative consequences. Completion of the survey took considerable time (approximately 30 minutes) from the already brief unit meetings. Most units only designate one hour for unit meetings every one or two weeks. If the researcher had returned to the next unit meeting in an attempt to survey those PPOs who had been absent the first time, pressure to complete the survey quickly in order to avoid inconveniencing others may have decreased the reliability of the responses obtained. Therefore, a reduced number of randomly obtained responses seems most appropriate for this study.

Trimester Reports. The second set of data collected for Stage One of this study

was the outcome data related to PPO work practices. As previously described, these data include the percentage of offender risk assessments, needs assessment, and case plans completed by each PPO during a three month period. A regression analysis of data drawn from the assessment tool that make up trimester reports and PPO culture surveys was used to determine whether there is a significant difference between the likelihood of one or more subculture types to implement administratively prescribed practices over others.

Data were drawn from the May 2007 trimester report. There is no reason to believe that using these data made any significant difference from using other possible trimester report dates. The May 2007 report was selected solely based on the fact that it was the most current at the time of the study. However, further research using data from other collection dates might be used to examine change over time relative to cultural variables.

Concerns about participant confidentiality for trimester data were considerably less than for the culture survey data. This is because ASD administrators routinely gather these data. On a regular basis, supervisors review the performance of each PPO to determine individual success and need for improvement. This information is not kept confidential. Rather, the name of the PPO is attached to the data for training purposes within the work unit[5].

However, the fact that this study paired objective trimester data with the subjective data obtained through the culture survey may have raised concerns for some

[5] Comments from some PPOs indicate that the public nature of trimester report information may be counterproductive as a management practice. However, no questions were raised about the confidentiality of the data as it was used for this study.

participants. Specifically, PPOs may have felt that their performance could have been associated with their opinions about the organization and used against them for promotion or termination of employment. For that reason, the local professional union was consulted to elicit support and provide protections against inappropriate use of the survey results. Union representatives expressed no concern about the research and kept a copy of the approved Human Subjects Research Review Committee report associated with this research to provide to PPOs who wished to review it.

Questions about the validity of the use of trimester reports to determine the effectiveness of the organizational change strategy can be raised based on concerns that the completion of the defined tasks does not necessarily insure that PPOs are using the resultant information to make decisions about their supervision of offenders (Lynch, 1998; Schneider et al, 1996). When asked about this, administrators asserted that the tasks associated with the trimester reports have been designed to minimize this likelihood. Administrators told the researcher that direct supervisors have observed that the PPOs who are successfully completing risk assessments and offender case plans are also those who are well informed about the needs of the offenders on their caseloads and exhibit overall professionalism. The trimester reports, therefore, serve as a benchmarking tool that is supported by direct observation of individual work practices. However, it is possible that a more thorough analysis would demonstrate that a comparison between PPO culture and the successful completion of the tasks associated with trimester reports is not a valid measure of success in organizational change. Put differently, successful completion of the tasks recorded in the trimester

report may demonstrate the ability of the PPO to circumvent requirements through a meaningless completion of electronic reports rather than recording the implementation of the organizational change agenda.

Stage Two Data Collection

Stage Two focuses on data collected from ASD administrators, and represents the overarching organizational culture. These data consist of organizational culture survey data and qualitative data collected using a guided group interview.

During a three-hour meeting, administrators (N=6) completed the organizational culture survey and participated in the guided group interview. The administrators were asked to complete the same culture survey that the PPOs completed. The administrator responses helped to translate between the meaning of the quantitative data obtained from the PPOs and the qualitative data obtained from the administrators. In essence, the administrators' responses to questions about culture type within the finite categories of hierarchical, market, clan, and adhocracy made it possible to develop a common vocabulary for the comparison of their open-ended conversation about the organizational culture using terms that more closely approximate those selected by the PPOs.

Administrators who were asked to complete the culture survey and participate in the group interview were informed that their participation was voluntary and asked to sign an informed consent form. In addition, prior to their participation they received a basic script for the group interview that helped to direct their thoughts toward the goal of defining the organizational culture. The script was also intended to

inform them of the questions that they would be asked to reduce any concerns that they might have about the type of information that they are expected to discuss.

Many of the members of this subject group were instrumental in the initiation of this research and were expected to be inclined to participate based on their own motivation to do so. However, this raised concerns that some ASD administrators would reluctantly feel the need to participate in the survey for fear of offending the director of the agency who is known to be in strong support of the change initiative. In fact, the interim director participated in the group interview.

In an attempt to alleviate any feeling that the subjects were being coerced into participating, the following steps were taken. First, the researcher informed participants that, although the ultimate conclusions about the organizational culture would be cited in the research, no comments would be attributed to individuals. Second, prior to taking the survey and participating in the group interview the director informed the participants that they should feel no obligation to either remain in the room or participate in the discussion if they did not feel comfortable doing so. Last, the researcher provided participants with an opportunity to make confidential comments after the group interview to include information that they might not have been comfortable talking about in front of the group but that they believed to be germane to the identification of the organizational culture.

Concerns exist about the reliability of data obtained from a single, small (N=6) group of administrators who were asked to express their opinions in front of their colleagues. A description of the organizational characteristics and the individuals

involved helped to address these concerns. First, ASD has very few executive administrators. The six members of the administrative group represent all of the decision-makers currently employed in the organization. While a comparison group of administrators would have been helpful in improving the reliability of the data obtained, no similar group exists at ASD.

Second, questions can be raised about whether administrators can be expected to express their honest opinions about the organizational culture when speaking in front of their peers. In this case, the researcher has reason to believe that such concerns are unfounded. Of the six members, one had left ASD under very positive circumstances, two were retiring within the next month, and the other three have a well-established reputation for candor. Further, the researcher spoke individually with several members to determine whether they were concerned about their ability to speak frankly and was told that they were not at all worried. Finally, the comments that administrators made on the culture surveys strongly matched the comments that they made during the guided group interview.

CHAPTER IV: FINDINGS AND DISCUSSION

Findings

Stage One: PPO Professional Subculture

Stage One of this research project sought to answer the following question: How does the PPO professional subculture operating within ASD affect the change agenda initiated by the ASD organizational leaders? The researcher hypothesized that PPO subculture operating within ASD does have a significant affect on the administrative practices initiated by the organization.

Stage One findings are divided into two sections. In the first section, the PPO subculture data taken from the organizational culture survey are compared with trimester report completion rates using a regression analysis. This allows the researcher to determine whether PPO subculture types have a statistically significant effect on the completion of any of the elements of trimester reports. In the second section, PPO responses to the organizational culture survey are considered alone in order to identify the prevalence of the four subculture types in the PPO professional subculture.

Regression Analysis: The Effect of PPO Subculture on the Completion of Elements of Trimester Reports

At the time of this research, ASD employed 133 PPOs. Of these, 84 (63%) were in attendance at regularly scheduled unit meetings when survey data were collected. Those PPOs not present were absent due to legitimate schedule conflicts

(training, vacation, etc.) that were unrelated to the research. Of those in attendance at the unit meetings, three (3) PPOs declined to participate in the study. The overall response rate was 96% of the PPOs who had an opportunity to participate based on their presence in unit meetings. This represents 61% of the total PPO population. Although data from all of the surveys completed by PPOs (n=84) were used to evaluate the PPO professional subculture, the sample size used to evaluate the effect of PPO culture on job performance is slightly smaller (n=66). This is because not all of the PPOs who completed surveys carry caseloads that require the completion of risk assessments, needs assessments, and caseplans for the supervision of offenders. Therefore, data from those 15 PPOs were removed from this section of the analysis. This lowers the response rate to 50% (66 of 133) of the total population of PPOs.

The scores associated with the trimester report make up the dependent variables in this research. The rate at which PPOs complete risk assessments, needs assessments, and caseplans for the offenders on their caseloads are used, by ASD, to determine their overall trimester report score. Although the three tools are intended to be used together, each of them is unique in its structure and application. Each can be used independently in the supervision of offenders. The offender risk assessment, which is used to determine each offender's risk to re-offend in order to assign them to the appropriate level of supervision, has been used in the same format for over a decade. The needs assessment, which identifies the dynamic criminogenic needs that should be addressed with the offender to promote changes in behavior, has been used for approximately the past ten years, but its format has been changed several times.

The caseplan is used to construct a supervision strategy through which the PPO will address the specific criminogenic needs identified in the needs assessment according to the supervision level identified by the risk assessment. It has only been used for the past four years and has also been changed during that time.

The trimester report itself consists of the three independent scores based on the percentage of each PPO's caseload for which appropriate and timely risk assessments, needs assessments, and caseplans have been conducted. Because of the substantial differences between each tool, their completion rates vary. Therefore, the trimester report was separated into four dependent variables: the total trimester score, the risk assessment score, the needs assessment score, and the caseplan score. Separate ordinary least squares regression analyses were conducted to determine the effect of PPO professional subculture types on each variable.

Competing variables that may have influenced PPOs' completion of the elements of the trimester reports were included in the analysis. These variables include: gender, education level, race, age, the number of years that respondents have worked as a PPO, and whether respondents have worked as a PPO in an agency other than ASD. The descriptive statistics for PPOs who completed trimester reports are summarized in Table 1.

Table 1: Descriptive Statistics for PPOs with Trimester Report Data

Variable	N	Percent
Gender	66	100
Male	25	37.9
Female	41	62.1
Education	64	97.0
Some HS	1	1.5
Some college	6	9.1
Assoc. degree	2	3.0
Bach. degree	46	69.7
Grad degree	9	13.6
Race	66	100
Black	4	6.1
Hispanic	6	9.1
Other	3	4.5
White	49	74.2
PPO in other county	64	97.0
Yes	8	12.1
No	56	84.8

	Min	Max	Mean
Years as PPO	1	30	9.4
Age	27	66	45

An ordinary least squares regression analysis ($p<.05$) demonstrates that PPO subculture types have no significant effect on the completion of the trimester report as a whole or any elements that constitute the trimester report score. PPO responses to culture survey questions cannot be correlated with their trimester report scores. Therefore, PPO subculture type cannot be used to predict performance as identified by completion of elements of the trimester reports and administrators cannot assume that PPOs who support any one culture type will be more productive than others. Table 2 below illustrates the findings

Table 2: Regression Analysis of the Effect of PPO Subculture on Trimester Report Completion

	Trimester Report				Risk Assessments			
Controlled for Competing Variables *	B	SE	M	SD	B	SE	M	SD
Clan Now	-0.29	(0.33)	17	9.5	0.15	(0.25)	17	9.5
Clan Preferred	0.01	(0.62)	29	8.3	-0.34	(0.48)	29	8.3
Adhocracy Now	0.17	(0.39)	18	7.7	-0.04	(0.30)	18	7.7
Adhocracy Preferred	-0.15	(0.52)	25	8.2	-0.49	(0.40)	25	8.2
Market Now	-0.02	(0.26)	29	14.5	-0.01	(0.20)	29	14.5
Market Preferred	-0.20	(0.61)	19	7.7	-0.12	(0.47)	19	7.8
Hierarchy Now	-0.08	(0.28)	33	13.7	-0.08	(0.22)	33	13.7
Hierarchy Preferred	0.03	(0.46)	25	8.5	0.07	(0.34)	25	8.5
Constant	102.2	57.2			122.3**	44.2		
Not controlled for Competing Variables *								
Clan Now	-0.28	(0.28)	18	9.6	0.04	(0.22)	18	9.6
Clan Preferred	0.28	(0.42)	29	9.2	-0.08	(0.33)	29	9.2
Adhocracy Now	0.22	(0.33)	18	7.6	-0.04	(0.26)	18	7.6
Adhocracy Preferred	-0.03	(0.35)	24	8.9	-0.39	(0.28)	24	8.9
Market Now	-0.02	(0.23)	29	14.6	-0.07	(0.18)	29	14.6
Market Preferred	0.22	(0.35)	20	12.9	0.01	(0.27)	20	12.9
Hierarchy Now	-0.02	(0.24)	32	14.3	-0.07	(0.19)	32	14.3
Hierarchy Preferred	0.16	(0.32)	24	9.1	0.14	(0.25)	24	9.1
Constant	72.0**	34.8			104.9**	27.3		

* competing variables include: gender, education, age, race, and years as a PPO

** p,.05

Table 2 (continued): Regression Analysis of the Effect of PPO Subculture on Trimester Report Completion

	Needs Assessments				Case Plan			
Controlled for Competing Variables *	B	SE	M	SD	B	SE	M	SD
Clan Now	-0.40	(0.40)	18	9.5	-0.43	(0.49)	18	9.5
Clan Preferred	0.37	(0.78)	29	8.2	0.31	(0.98)	29	8.2
Adhocracy Now	0.02	(0.48)	18	7.7	0.21	(0.60)	18	7.7
Adhocracy Preferred	0.30	(0.70)	25	8.2	0.38	(0.83)	25	8.2
Market Now	-0.08	(0.31)	29	13.8	-0.02	(0.39)	29	13.8
Market Preferred	0.01	(0.74)	19	7.6	-0.02	(0.93)	19	7.6
Hierarchy Now	-0.16	(0.33)	33	13.7	-0.02	(0.42)	33	13.7
Hierarchy Preferred	0.11	(0.61)	25		0.17	(0.76)	25	8.4
Constant	89.8	69.8			58.9	87.4		
Not controlled for Competing Variables *								
Clan Now	-0.34	(0.34)	18	9.6	-0.34	(0.41)	18	9.6
Clan Preferred	0.55	(0.52)	29	9.1	0.47	(0.63)	29	9.1
Adhocracy Now	0.12	(0.41)	18	7.6	0.31	(0.50)	18	7.6
Adhocracy Preferred	0.35	(0.43)	24	9.1	0.33	(0.53)	24	9.1
Market Now	-0.00	(0.27)	29	14.0	-0.01	(0.33)	29	14.0
Market Preferred	0.45	(0.42)	21	13.2	0.46	(0.52)	21	13.2
Hierarchy Now	-0.02	(0.28)	33	14.4	0.09	(0.35)	33	14.4
Hierarchy Preferred	0.18	(0.40)	24	9.1	0.16	(0.49)	24	9.1
Constant	50.5	42.1			41.7	51.9		

* competing variables include: gender, education, age, race, and years as a PPO
** p,.05

Culture Survey: Illustrating the PPO Professional Subculture

PPO Professional Subculture. The regression analysis described above is valuable in that it keeps administrators from making incorrect assumptions about

professional subculture type as a predictor of PPO work output. However, these data are limited in their ability to describe the characteristics of the professional subculture. Data drawn from the culture surveys completed by PPOs provides a broader view of the scope of the PPO professional subculture at ASD than the regression analysis. Rather than attempting to use organizational culture as a predictive tool, these data provide a snapshot of how the PPOs surveyed perceive the organizational culture now and how they would prefer it to be. It is drawn from a slightly larger group of PPOs (n=81) who work across a wider range of operational units. Table 3 provides descriptive statistics for all members of ASD who participated in the culture survey.

Table 3: Descriptive Statistics for all Culture Surveys

Variable	N	Percent
Total respondents	93	
Admin	6	6.5
PPO	81	87
Other	6	6.5
Gender	93	
Male	34	36.6
Female	59	63.4
Education	89	95.7
Some HS	1	1.1
Some college	8	8.6
Assoc. degree	3	3.2
Bach. degree	60	64.5
Grad degree	17	18.3
Race	89	95.7
Black	5	5.4
Hispanic	7	7.5
Other	6	6.5
White	71	76.3
PPO in other county	90	96.8
Yes		
No		

	Min	Max	Mean
Years as a PPO	1	30	10.4
Age	22	66	45

As indicated above, not all PPOs complete trimester reports because not all units require the same type of ongoing offender supervision. For example, PPOs assigned to the reduced supervision team are responsible for the supervision of over 3000 offenders who have been assessed at a low or limited risk to re-offend. These offenders are not likely to benefit from frequent interaction with a PPO and are not a significant risk to public safety. However, they still have probation and parole obligations such as restitution payments to victims that must be monitored. It would not be beneficial to complete risk assessments, needs assessments, and caseplans for these offenders. The PPOs in this unit and all other units that do not require the completion of trimester reports contribute to the PPO professional subculture at ASD even though the do not participate in trimester reports.

Data from organizational culture surveys were used to determine the average total score for each of the four culture types (i.e. clan, adhocracy, hierarchy, market) as PPOs perceive the organizational culture now and as they would prefer it to be. These scores where then charted along each of the four quadrants to illustrate each value relative to the others. A solid line identifies the scores for current culture and the scores for the preferred culture are identified by a dotted line. This illustrates the difference between the current and the preferred organizational culture.

The data drawn from the PPO culture surveys are represented graphically in the following charts. Figure 6 illustrates the PPO perception of the overarching organizational culture. Figures 7 through 12 (p. 100) draw out organizational culture data gathered in six subcategories that include: the dominant characteristics of the

organization, the organizational leadership, the management of employees, the organizational glue, the strategic emphasis, and the criteria for success in the organization from the perspective of the PPOs.

Figure 6: PPO Perception of Overarching Organizational Culture

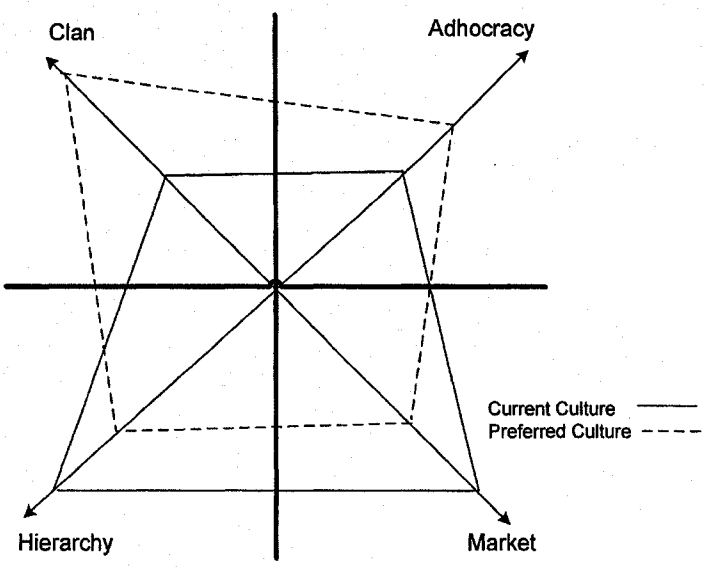


Figure 4 shows the difference between how the survey respondents perceive the overarching organizational culture at ASD to be now and how they would prefer it to be. PPOs perceive that the organizational culture is very strongly oriented toward hierarchical and market cultural characteristics and less similar to clan and adhocracy types. This means that they believe that the current culture is more dominated by efforts to control, monitor, and formally organize organizational functions based on a need to be fiscally competitive than to develop cohesion through staff participation that is driven by goals based on visionary innovation. PPOs indicated that they would prefer almost exactly the opposite. Their preferred organizational culture would

have a stronger focus on the culture types that encourage flexibility and discretion through participatory creativity in operational practices as opposed to formal structure and control with concern for market driven competition. This is consistent with the literature describing PPOs as professionals who value their ability to draw heavily upon their own discretion in the supervision of offenders (Cosgrove, 1994; Lynch, 1998; Schneider et al, 1996).

By extracting the responses that PPOs gave to specific organizational domains, it is possible to more closely consider their perceptions about the elements that make up the overarching culture. This more detailed information is important for understanding the PPO professional subculture as it relates to more easily identified organizational practices.

When considering the findings illustrated in Figures 5 through 10, Cameron and Quinn (1999) direct us to pay special attention to areas of consistency or marked difference across the six organizational dimensions. This includes areas in which the current and preferred culture are considerably different, and areas in which the current and preferred culture are particularly similar. The identification of consistency and differences across the dimensions helps administrators to identify areas in which PPOs perceive incongruence from the larger culture that can be used to diagnose areas of organizational alignment or misalignment. With this in mind, the areas of concern that are most readily identifiable here are the perception by PPOs that the characteristics of a clan culture should be more prevalent than they are.

Figure 7: PPO Perception of the Dominant Organizational Culture

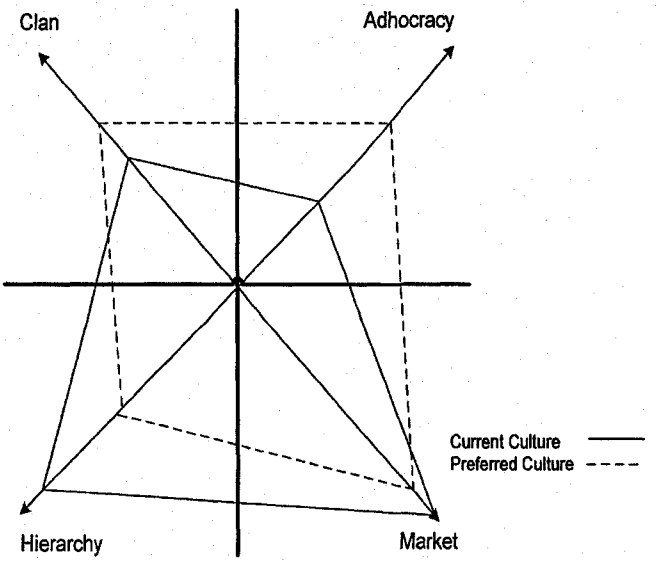


Figure 8: PPO Perception of Organizational Management Culture

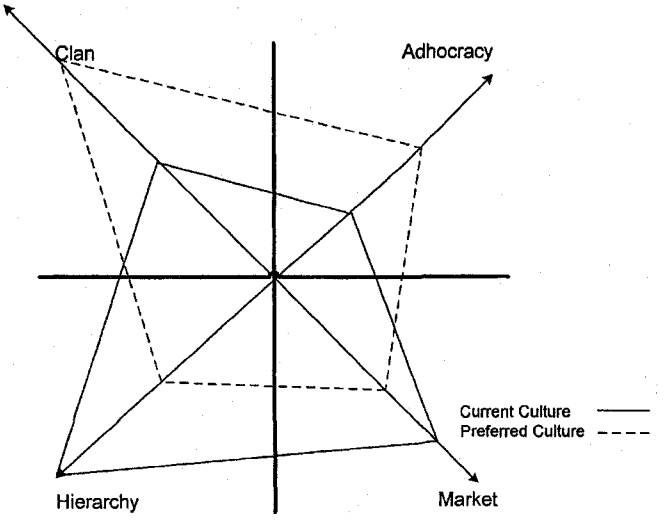


Figure 9: PPO Perception of the Organizational Culture as it Relates to the Strategic Emphasis

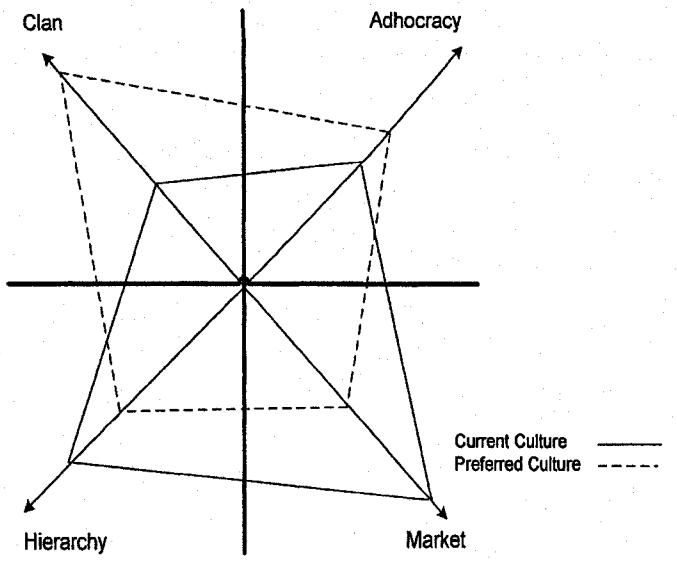


Figure 10: PPO Perception of the Organizational Leadership Culture

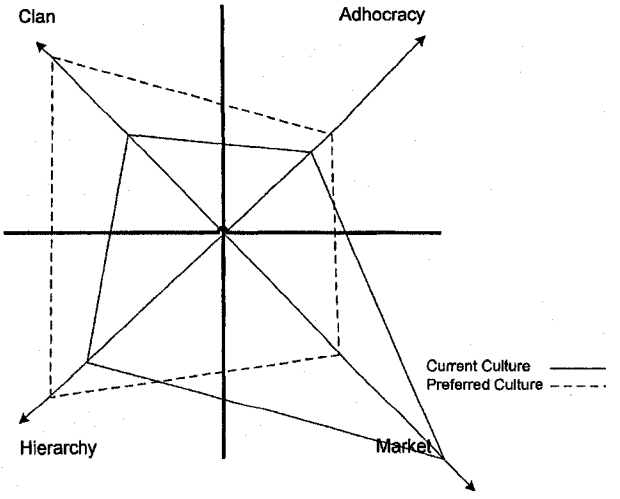


Figure 11: PPO Perception of the Organizational Culture as it Relates to the Glue that Holds the Organization Together

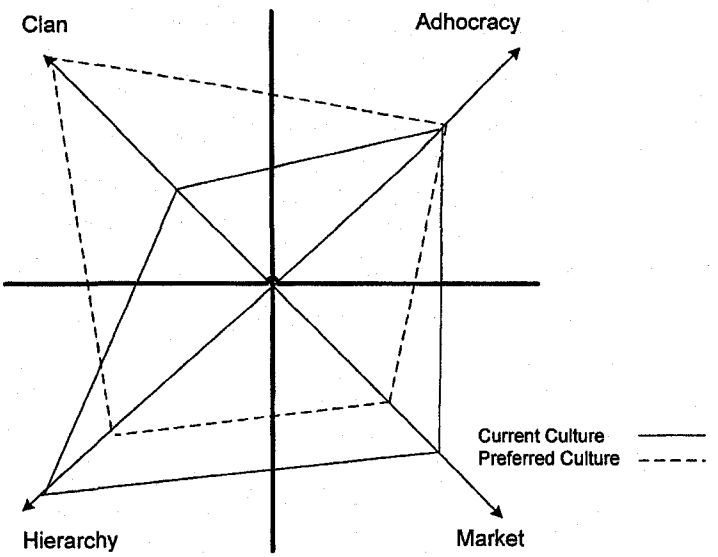
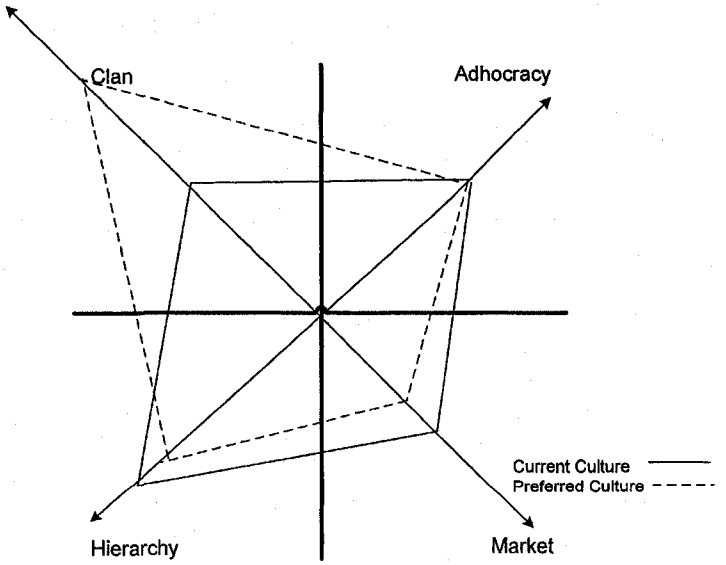


Figure 12: PPO Perception of the Organizational Culture as it Relates to Success



Across all six organizational dimensions, the preferred level of clan culture is higher or much higher than is manifested in the current culture. Similarly, PPOs perceive that the characteristics of the market type culture should be less prevalent than it is. In both of these culture types, there seems to be overall consistency. Of particular interest, however, is an inconsistency in how PPOs perceive the prevalence of elements indicative of a hierarchical culture. In five of the six organizational dimensions, PPOs indicate that there are more elements of hierarchy in the culture than they would prefer. However, in the area of organizational leadership PPOs indicate that they want more rather than less hierarchical characteristics. They also indicate that that the amount of hierarchical characteristics within the current organizational culture is quite close to their preference in how success is defined.

In a hierarchical culture, Mintzberg (1993, p. 14, 165-187) asserts that success is measured in terms of stability and consistency as defined by established rules and practices. Therefore, these findings provide support for preserving some hierarchical elements in the organizational culture. ASD administrators might wish to reduce some of the hierarchical nature of the organizational structure in an effort to enhance teamwork and innovation. However, they would likely face a negative reaction by PPOs if they moved too far in this direction because hierarchical characteristics are part of how PPOs define the organizational culture as it relates to leadership and measures of success

Interesting conclusions can also be drawn from responses regarding the characteristics of the adhocracy culture type. Again, there is an overall preference by

PPOs for more innovation in practices than currently exists in the organization. However, when specifically asked about the culture as it relates to the glue that keeps the organization together and how the organization defines success, PPOs indicate that ASD is on track with its use of cutting-edge strategies, and that no more innovation is needed to meet their preferred culture type.

When asked whether these research findings seem to fit their expectations about the PPO subculture, administrators informed the researcher that they believe that all members of ASD take pride in the fact that the organization is aggressive in its drive to use cutting edge innovative strategies for working with offenders. Administrators generally agreed the level and pace of innovation they had initiated is currently at the level they would prefer. Therefore, they agreed that it makes sense that PPOs could want more innovation overall while considering the level of innovation to be appropriate in other areas.

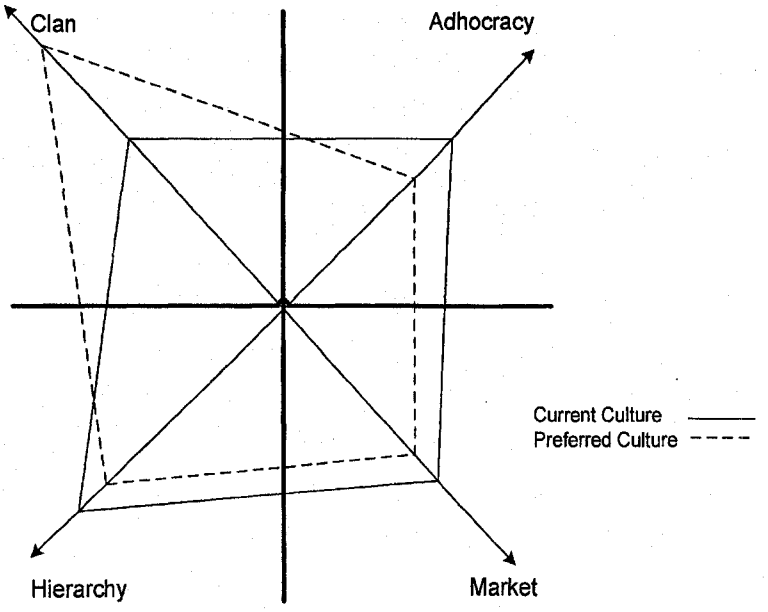
However, ASD administrators were somewhat surprised that PPOs expressed a desire for increased hierarchy in leadership. Administrators informed the researcher that they have worked to reduce hierarchy as much as possible in an effort to promote communication between staff members at all organizational levels of ASD. Could it be, they wondered, that PPOs sometimes need the stability of the hierarchy in order to clearly define organizational goals? Even as PPOs are fiercely independent, they might need the ability to defer to an unquestionable leader in the face of some of the difficult decisions that their work requires of them.

Unit Subcultures. Cameron and Quinn (1999) argue that the subcultures within working units frequently develop unique cultural characteristics within an organization. Anecdotal information obtained from PPOs and administrators indicates that this is true at ASD as well. For example, PPOs informed the researcher that they expect the subculture of the units located in one office to be considerably different from the others. PPOs in ASD work within a variety of units that are defined by offender characteristics (specialized supervision units) and geographic location within the city.

Organizational culture charts (Appendix C) were created to illustrate the cultural differences and similarities between PPO work units. The value of these unit culture charts is not in their exact representation of each unit's culture. Rather, the value is their ability to assist administrators in determining why some units and not others may embrace organizational decisions. This consideration of the prevalence and preference of organizational culture types in individual units can be potentially helpful in understanding how organizational change initiatives are likely to be perceived and implemented at the first line supervisory level. For example, in almost all of the units PPOs indicate that they would prefer more elements of an adhocracy (innovative) culture than currently exist in ASD. The extreme exception is the Drug Unit (Figure 13 below), which illustrates that the PPOs would prefer less adhocracy and considerably more clan type cultural characteristics. This would seem to indicate that they want less innovation and more collaboration. While more pointed questions should be asked of the PPOs in this unit to determine exactly what they mean, it may

be an indication of the fact that their first line supervisor has been one of the leaders in the implementation of many of the organizational change strategies. For this reason, he has expected PPOs in his unit to be very well versed in evidence-based techniques. It is very likely, therefore, that they have a greater awareness of the innovations that are already taking place in ASD than many of the other PPOs.

Figure 13: ASD Drug Unit



When the subunit culture information summarized above is combined with the regression analysis in Stage One, administrators are provided with a rich array of data that can meaningfully inform them about the characteristics of the PPO professional subculture and the effect that these characteristics have on the operational tasks deemed important to the organizational change strategy. The analysis identifies the

broadly defined cultural characteristics that are important to PPOs in ASD and demonstrates that, under some circumstances, cultural variables may have a significant impact on the completion of operational tasks. Stage Two of the research uses data drawn from administrators to compare the overarching organizational culture of ASD with the PPO professional subculture.

Stage Two: Importance of Subculture Alignment

Stage Two of this research project sought to answer the following question: How important is the alignment between the professional culture of PPOs and the organizational subculture created by ASD administrative leaders in the fulfillment of the tasks required in the organizational change agenda? The researcher hypothesized that alignment between the professional subculture of PPOs and the overarching organizational culture is relatively unimportant in the fulfillment of the administrative practices required in the organizational change agenda.

Stage Two findings are divided into two sections. The first section considers the findings drawn from the organizational culture survey completed by ASD administrators as a surrogate for the overarching organizational culture. The second section describes the qualitative findings gathered from the guided group interview.

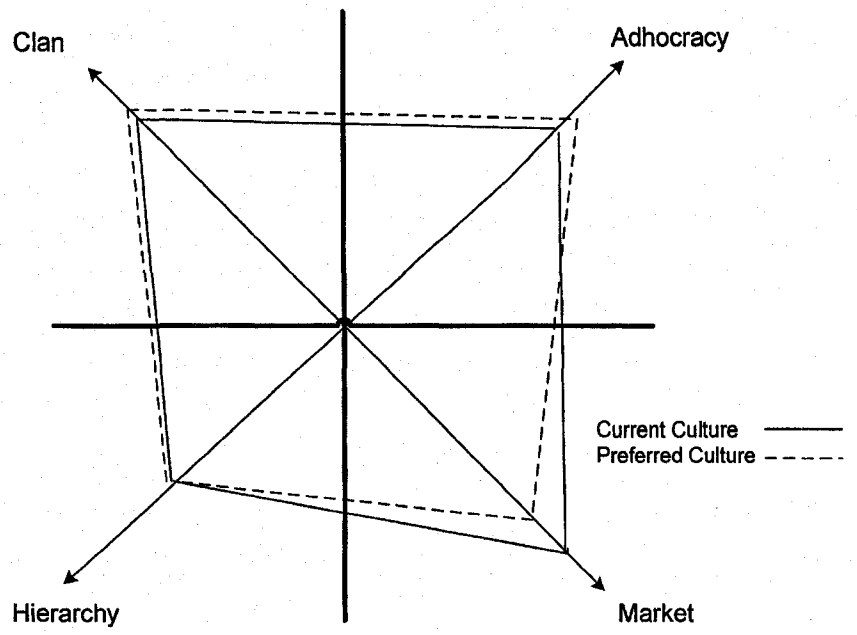
Culture Survey: Illustrating the Overarching Organizational Culture

Organizational structure theories support the expectation that in a large, well established organization with a hierarchical structure such as that which exists in ASD, there will be some operational disconnect between top organizational decision-makers

and the professionals who make up the operating core (Mintzberg, 1993, p. 185). The obvious difference between the roles and responsibilities of each group makes this necessary. Much of the value of the research that supports this dissertation is in its ability to meaningfully inform administrators at ASD about the nature and amount of difference between the two groups such that future decision-making can incorporate this information.

To this end, several of the administrators (N=6) who have been instrumental in making the organizational decisions driving policy and practices toward the implementation of organizational change initiatives were asked to complete the same culture survey that the PPOs completed. Figure 14 illustrates how the administrators perceived the organizational culture to be at the time of the survey and how they would prefer it to be.

Figure 14: ASD Administrator Perception of the Total Organizational Culture



The administrators indicated that the current organizational culture at ASD is very closely aligned with their preferences. They would like to have, and believe that ASD has largely attained, a balanced mix of elements that include individual innovation from within the organization and formal structure with an eye to accommodating the demands of the external environment. Cameron and Quinn (1999) argue that parity between the current and preferred organizational culture indicates strongly defined organizational goals that are well matched with the values espoused by its members. Further, the authors assert that, even though variations in focus are to be expected based on operating functions, organizations that support a balanced culture tend to be most successful over time. Culturally balanced organizations have a tendency to be able to draw on different cultural strengths as changing

circumstances necessitate. In the case of ASD, the only notable difference between the current culture and the preferred culture is observed in a preference for slightly less focus on market forces from the external environment. When asked to explain this finding, administrators suggested that it is likely a result of long-term budget pressures from state and local government that have consistently required ASD to provide the same services with less funding.

Figures 15 through 20 (below) illustrate administrator responses to questions about the sub-domains that exist within the organizational culture.

Figure 15: ASD Administrator Perception of the Dominant Organizational Culture

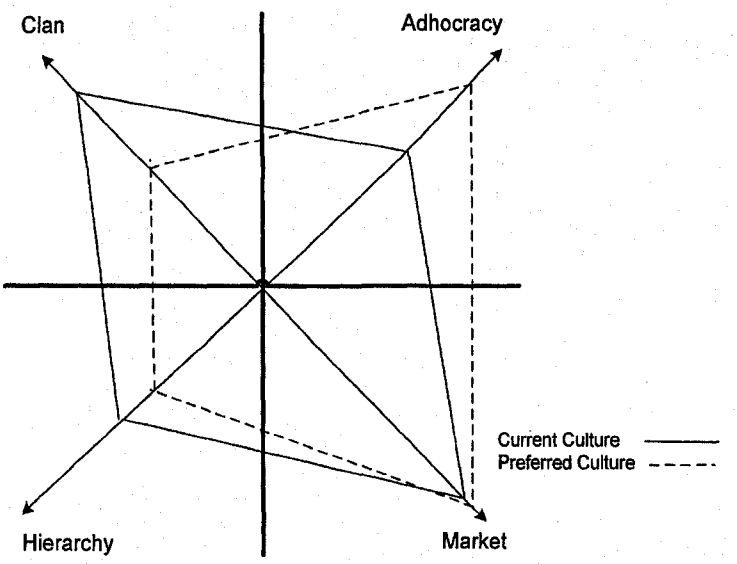


Figure 16: ASD Administrator Perception of the Management Culture

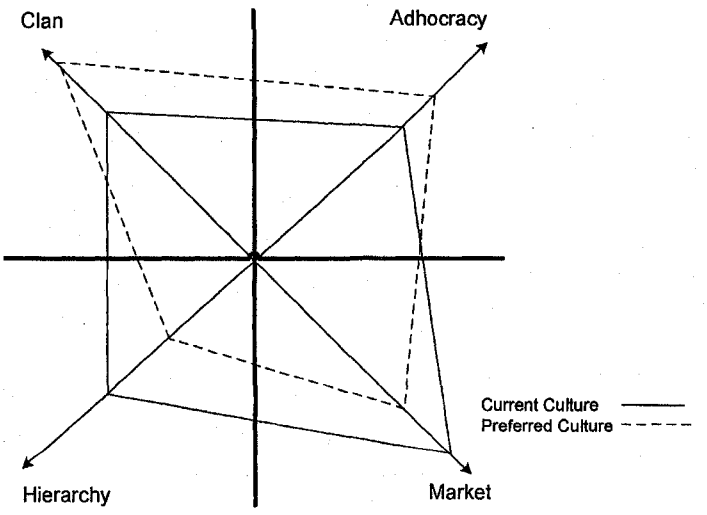


Figure 17: ASD Administrator Perception of the Organizational Culture as it Relates to the Strategic Emphasis

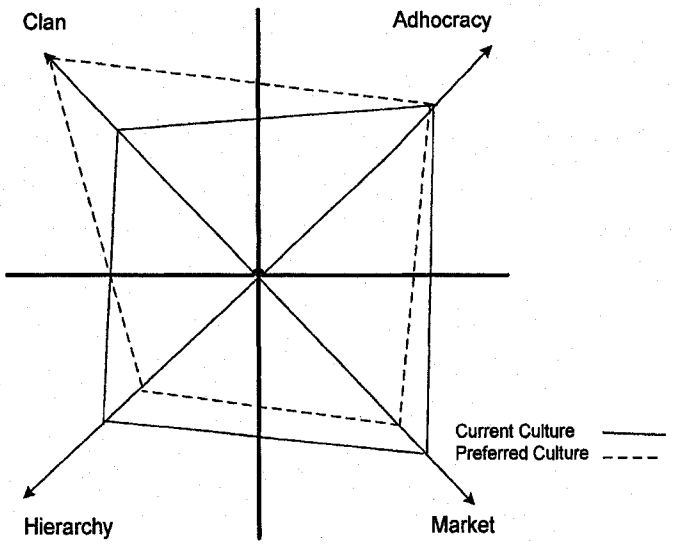


Figure 18: ASD Administrator Perception of the Organizational Leadership Culture

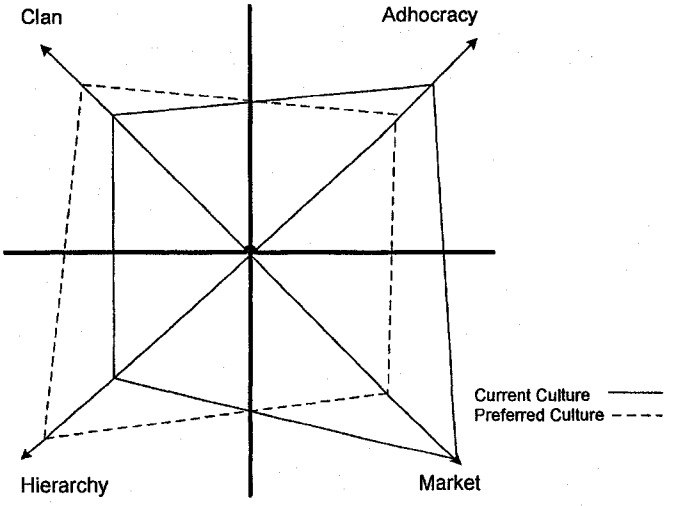


Figure 19: ASD Administrator Perception of the Organizational Culture as it Relates to the Glue that Holds the Organization Together

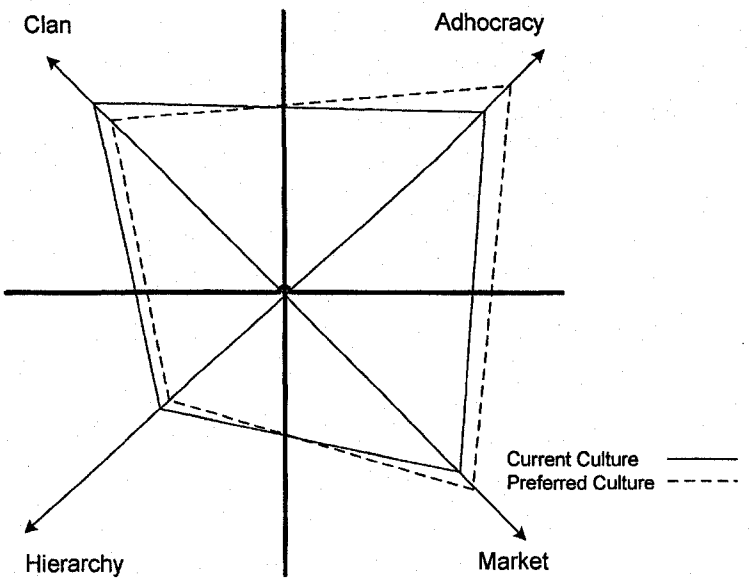
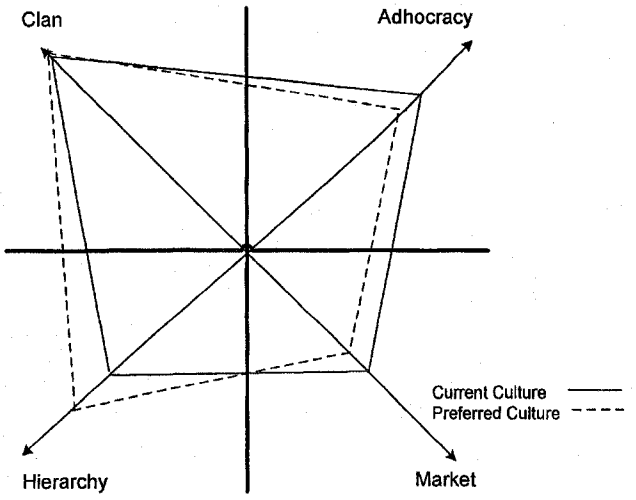


Figure 20: ASD Administrator Perception of the Organizational Culture as it Relates to Success



As is the case with the PPOs, the administrators generally support the attributes of the clan and adhocracy (flexibility and discretion through collaboration and innovation) over stability and control. However, the administrators indicate a greater tendency to prefer that the cultural focus be based on the circumstances inherent within each organizational dimension. For example, in the case of the PPO professional subculture, respondents consistently indicated that they would prefer an increase in clan attributes across all organizational domains. Administrators, on the other hand, indicate that an increase in a clan culture is not always preferred. They would prefer the dominant organizational culture as it relates to success and leadership to have more control and stability. Of note, however, is the similarity of focus between the PPOs and the administrators in the domains of leadership and management. Both groups value hierarchy over innovation in the leadership culture and flexibility over control in the management culture. When asked how they interpret these findings, the administrators told the researcher that they think the PPOs want some hierarchy in top leaders because it provides them with clear marching orders while they want more collaboration from middle managers who work with them directly.

However, administrators were somewhat surprised to find that they answered similarly. They informed the researcher that they have worked to reduce the hierarchical nature of the organizational structure as much as possible. ASD administrators may need to consider the possibility that they would like to have a more

clearly defined leadership role than is currently taking place in the organization. In working toward a less hierarchical structure it may be that not enough of the command structure remains to support the expectations of the organizational culture.

Guided Group Interview

The qualitative data collected from the ASD administrators (N=6) during the guided group interview sheds light on the nuances of the overarching organizational culture (Schein, 1992). The data documented how elements of each culture type are manifested in the organization. For the administrators, the data provided an opportunity for introspection and self-evaluation in a collaborative setting. It is worth noting here that because these qualities are part of the organizational culture the administrators were comfortable engaging in this exercise. Members of a different kind of organizational culture may well have had more difficulty finding value in it.

It is also important to note that this group interview varied from the format of Schein's original design. The model designed for this research project suggests that the guided group interview should, optimally, be conducted over the course of several days using the format that has come to be associated with a professional retreat. This allows the researcher to dedicate time to explaining the role of organizational culture in general with the participants. It also facilitates leisurely discussions among the participants and break-out groups that are excused from the main discussion to consider questions related to their own organizational culture. Over the course of one to three days, the administrators comfortably consider the nuances impacting their culture and develop well thought out plans for addressing concerns.

From the outset, it was apparent that the administrators who were asked to participate in this research would not have time for an extended retreat. In fact, it was unlikely that their schedules would facilitate even one day. Within the parameters of the model, Schein (1999, p. 59-87) indicates that it is possible to reduce the guided group interview to several hours if the group is well prepared. Because the researcher has extensive experience facilitating a variety of process-oriented groups, it was agreed that the guided group interview could be reduced to three hours. Due to the enthusiastic participation of all members, the guided group interview was successful and provided the intended qualitative data to support this study. However, by the end of the three-hour session, both the participants and the researcher were completely exhausted. The reduced time frame required that the group remain on task and focused at all times. Breaks were limited and group discussions that would certainly have resulted in deeper considerations of the culture had to be cut off early. In retrospect, the researcher believes that it would have been better to have convened several one-hour meetings rather than attempt to complete the research in one intensive session. The success of this portion of the research and the wealth of data that the following paragraphs will summarize speaks to the dedication of the participants to introspection and self-analysis.

As described in Chapter III, the first step in the guided group interview was to identify an organizational problem around which cultural questions could be raised. The group agreed to discuss the following question as the problem focus: Can we insure that evidence-based practices (the organizational innovation strategy) will

continue beyond the current administration as a fundamental element of ASD? At the time that this research was conducted, this question was of particular concern for two reasons. First, ASD was in the process of hiring a new director who may have had radically different views about the organizational focus than the directors who had initiated the organizational change. Second, a new county Chair had recently been elected and it was unclear whether ASD would face significant budget cuts that could have a devastating effect on funding for practices based on the principles of the change strategy. Most of the members of the group had spent more than a decade on implementing organizational change that incorporated evidence-based practices based on the "What Works" literature (Lowenkamp & Latessa, 2005). The possibility that much of this work might be discarded loomed as an uncomfortable reality. In the face of these poignant realities, the participants used the guided group interview to uncover elements of the organizational culture that both help to further the change strategy and hinder it. The results of these interviews are summarized in the sections that follow.

Organizational Artifacts. The organizational artifacts that the group listed reflect ASD's responsibility for both enforcement and social service functions. Visible illustrations of the enforcement elements that take place at ASD include safety gear such as handcuffs, equipment belts, pepper spray, ballistic vests, and the uniform jackets worn by PPOs as well as cage cars used to transport offenders to jail. The exterior offices have bullet proof glass, the furniture is often bolted down, and there are numerous signs giving directives to offenders. The interior offices occupied by PPOs have a physical orientation designed to facilitate safety from violent offenders

and there are no family pictures in view of offenders. This makes the offices appear impersonal.

Artifacts that illustrate the social services provided by the organization include lists of resources that can be seen on desks, in offices, and on wall posters. Bus tickets and hygiene kits for offenders are kept in the field offices. Discussions between staff about assistance available for offenders and how best to address their needs are frequent. Collaborative efforts between PPOs and service agencies are on-going. This is evidenced by the brokering efforts of PPOs who talk with service providers on the phone, email them with requests for service, and receive faxes that document offender progress in treatment programs.

The group also gave examples of artifacts that demonstrate that people at ASD are working very hard and that there is more work than could possibly be accomplished. Further, funds are allocated toward the perpetuation of the primary goals of the organization rather than the aesthetic quality of the work environment. Walls are lined with shelves of offender case files and binders of old, exhaustive, unlabeled information. The buildings are ugly, dirty, and old, and the clients are damaged people who are dependent upon the services that ASD provides. This reality leads to a gruff demeanor in staff who are hyper-vigilant and share a gallows sense of humor.

Espoused Values. Next, the group considered the espoused values of ASD. These are the strategies, goals, and philosophies that define why they are doing what they are doing (Schein, 1992). The mission statement as well as the values and

principles espoused by ASD are posted on the website, on the backs of professional business cards, and on framed wall posters. The ASD mission, values, and principles read as follows:

Mission

Our mission is to enhance community safety and reduce criminal activity by holding youth and adults accountable in a fair and just manner, assisting them to develop skills necessary for success, and effectively using public resources.

Values and Principles

Change and Rehabilitation: We believe in people's ability to change and strive to provide opportunities for rehabilitation through the effective use of best practices.
Restitution to Victims and Communities: We value restitution to neighborhoods and individual crime victims. Restitution restores those impacted by crime and encourages offenders to take responsibility for the harm they caused.
Strong Families: We value families for their role in strengthening our communities and preventing criminal behavior.
Diversity: We value and respect diversity within our staff, our clients and our community.
Professionalism: We value the highest standards of professional behavior, including treating people with respect, promoting effective communication, resolving conflicts peacefully, acting with integrity, taking initiative, and accepting personal responsibility for our organizational culture.
Financial Accountability: We recognize that it is our responsibility to manage our limited time and resources carefully to maximize services provided to the public.
Investing in the Public: We invest in employees through education and training and by providing opportunities for personal and professional growth. We value balance between professional responsibilities and personal life.
Information Based Decisions: We value information. We are dedicated to continuous improvement and use data and best practices to help guide our decision making.
Collaborative Relationships: We believe that in order to enhance public safety we must work collaboratively with our partners, including the judiciary, law enforcement, schools, treatment agencies, and the

community. (ASD website)

Although the formal mission and values of an organization is one of the more public manifestations of espoused values, it may not be a extensive enough to encompass all elements of the organization. For example, other organizations may also follow a professional code of ethics as well. In this case, the administrators who participated in the guided group interview indicated that the mission and vision is an accurate representation of their intentions as an organization. Therefore, it was appropriate to use these formal statements to identify differences between the organization's espoused values and the organizational artifacts that reflect what is actually taking place.

The group agreed that the mission appropriately represents the culture of the organization. It demonstrates the balance of supervision, services, and sanctions that the organization needs to maintain. Further, the group agreed that most important elements of the rehabilitative process are found in the resources provided rather than in many of the more visible physical artifacts that the group listed. However, it is important to note that when initially asked to list the organizational artifacts, the group focused heavily on the tools used for enforcement functions. It was not until the researcher brought up the mission statement that they began to add social service elements that are less tangible. The group stated that the enforcement artifacts are necessary to the work that is done, but that they are neither positive nor negative – just necessary.

The organization, the group asserted, is seeking to develop a culture that incorporates a balance between enforcement and social service functions because they consider this to be the best way to increase public safety. However, the researcher observed that their own inclinations may be oriented toward enforcement. For example, the group argued that it would be most accurate to depict PPOs as "change agents", but "Who wants to be a change agent? That doesn't seem strong or in control." This statement is an example of the cultural characteristics that exist in people who work in community corrections. Stated simply, a "change agent" sounds, to ASD administrators like someone who is completely focused on social service work. Since most of them worked as PPOs before they became administrators, they find a complete focus on social service work to be too passive as compared with the enforcement role that PPOs also have.

This type of comment demonstrates the ongoing tension in ASD between what administrators referred to as "macho" skills used in enforcement and the "softer skills" needed to do social service work. This, it was suggested, is manifested by people complaining about each other while still being protective of their colleagues. It also means that in the minds of administrators, PPOs can be expected to be professionally functional as well as oppositional to authority. Administrators asserted that PPOs are "fiercely independent in their work with offenders and that independence transfers to their interactions with administrators". There was agreement that PPOs need to have the ability to move with ease in the boundary-spanning role between enforcement and social services in working with offenders. However, rather than thinking of PPOs as

either like police or like social workers, their identity should be based on both some of the tools used by police and some of the tools used by social workers because the profession includes qualities of good caseworkers plus the ability to make arrests with hope for rehabilitation. Administrators agreed that the work requires the acceptance of the continuum of offender recovery that includes success as well as relapse, but that a formal professional identity has not been developed around these unique skills.

The group suggested that, as administrators, it is difficult to focus attention on what motivates PPOs to do the work in a profession whose identity is not clearly defined. On one hand, a focus on safety has resulted in increased budgets for defensive tactics, PPO training, and the active supervision of only the most difficult offenders. These steps were prompted by the organizational decision to follow the research-driven recommendation (Lowenkamp & Latessa, 2005) to move low and limited risk offenders to casebank[6] and leave only medium and high risk offenders on active supervision with individual PPOs. This organizational change has brought about an increase in positive outcomes for public safety. On the other hand, administrators indicate that they fear that the focus on high-risk offenders has caused a decrease in job satisfaction for PPOs who are rarely able to enjoy the success of offenders as they continue to make improvements. This is because offenders who demonstrate success are quickly transferred to the reduced supervision team while those who continue to fail remain on active supervision. In effect, PPO contact with

[6] Casebank refers to the reduced supervision team that was designed to monitor offenders who pose a low or limited risk to re-offend by providing a greatly reduced level of direction and resources to their supervision. This is intended to increase public safety by allowing resources to be focused on medium and high risk offenders whose cases are individually managed by PPOs (see http://www.co.multnomah.or.us/dcj/acjreducedsupervision.shtml).

successful offenders is quite limited while their contact with failure, relapse, and violent outbursts has increased greatly. This, it was asserted, is good for the offenders, but bad for PPO morale.

Next, the group discussed ASD's organizational vision and principles. Overall, they agreed that progress is being made. The group agreed that restitution is not given as much focus as it could be, that the focus on the family could increase, and that information based decision-making could improve. However, they felt that the establishment of organizational diversity, overall professionalism, investing in employees, and cooperation are all going well.

There was general agreement that ASD's values are frequently in conflict, but that the conflicts are for good reasons. For example, because administrators have always considered individual needs to outweigh organizational needs, sometimes decisions that are made to suit the personal needs of employees are not in keeping with the overall needs of the organization. The group agreed that this is sometimes a liability, but mostly they viewed it as an asset to the organization as a whole.

The group then went on to describe what they called "cyclical difficulties" that occur in the organization. As each generation of PPOs enter ASD, they go through a professional evolution that ranges from enthusiasm to an adversarial relationship with administrators as PPOs try to make changes in the organization and then to a desire to simply do their jobs well. Therefore, there are what the group referred to as generational differences between those who are fighting with administration and those who are just doing their work. The group indicated that there always tends to be a

core group who drive PPO behavior, but acknowledged and that they were the same when they were new in the profession.

This led the group to talk about the length of time that the organization had been going through a change process. Innovation, they agreed, has been a fundamental element of ASD for over a decade. This has meant "before anyone can get comfortable with a specific technique of doing things, we are training them to do something new". The group said that they think staff members in all areas are getting tired because innovation takes energy and they are all working very hard. This general professional fatigue has increased the level of tension in the professional subculture.

The researcher then asked the group to consider organizational elements that tend to help and hinder their efforts to continue evidence-based practices. The group agreed that the use of data for decision-making was very helpful. Every member of ASD uses data in a variety of ways, including the measurement of success, management of caseloads, and accountability as defined by objective measures for quality improvement. This is demonstrated in the fact that members of the organization ask administrators questions about the effectiveness of practices. The group agreed that the staff play a significant role in the organizational innovation, which allows the leadership to impact change. The group also agreed that budget cuts had become a part of the organizational culture, but that this was both helpful and harmful to innovation. Budget cuts are harmful in that they often limit progress, but they are helpful in that they push innovation. This statement may demonstrate the difficulty with which organizational change is made in that a constant crisis is needed

to motivate action.

Another positive element of the organizational culture, the group asserts, is in the focus on theory for decision-making. This means that there must be a reason for doing things a certain way. "What the theory is may change (currently, it is a cognitive-behavioral approach), but there still must be logic to it". Theory-driven supervision has also resulted in a dedication to specialized case units that are seen as beneficial to the continuation of the organizational innovations. Collaboration with stakeholders is viewed as helpful because individual cases do not just belong to the PPO, however, there was a perceived problem with the hierarchical arrangement of staff, which puts PPOs at the top and corrections counselors lower.

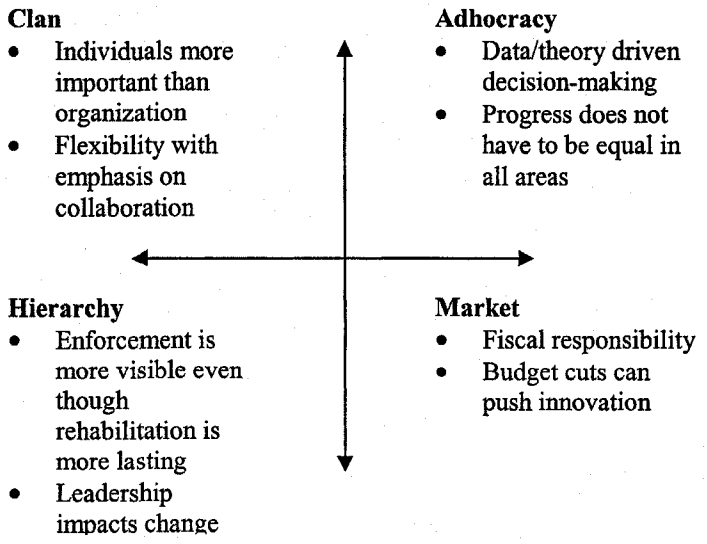
Along with some aspects of the culture of budget cuts and the hierarchy of staff, the group agreed that the cyclical difficulties of an aging workforce that is struggling with over a decade of rapid innovation may be harmful to the success of the organizational changes. Further, recent aggressive ad hominem attacks have resulted from the creation of a relatively new PPO professional union to has aggressively sought pay increases for PPOs. In addition, takeover bids from other local and state agencies that are interested in adding to their own funds by taking over probation and parole functions have put a strain on ASD.

The group expressed a belief that this is difficult and potentially harmful to organizational innovations because it is so foreign to the culture. The culture at ASD encourages criticism, but it stops short of attacking. The group observed that personal attacks on individual administrators or the organization as a whole had probably

contributed to eroding employee morale and the supportive organizational culture that administrators have sought to develop over the past ten years.

Underlying Shared Assumptions. The researcher next directed the administrators to use the differences and similarities between the artifacts and the espoused values that exist in ASD to identify the underlying shared assumptions that make up the overarching organizational culture. Underlying shared assumptions are the unconscious, taken-for-granted beliefs, perceptions, thoughts, and feelings that make up an organization's culture (Schein, 1992). Figure 21 illustrates how the organizational culture in ASD experiences each of the four culture types.

Figure 21: The ASD Organizational Culture



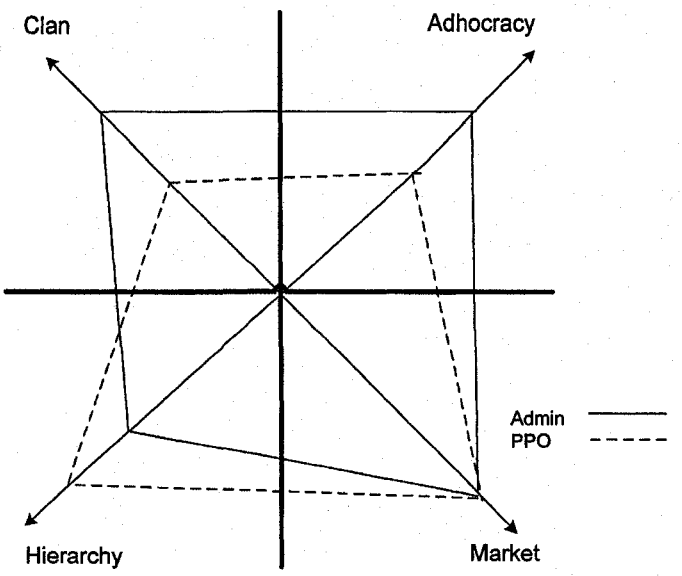
In ASD, the balance between enforcement and social services functions is culturally represented by the rather hierarchical shared assumption that, even though rehabilitation is more lasting, enforcement is more visible. The administrators are

dedicated to first keeping people safe so they can do their job and then training them to use rehabilitative techniques based on cognitive change of offender behavior. This is based on the assumption that few rehabilitative successes will be attained by PPOs who are fearful about their interaction with offenders. The adhocracy culture type is seen in the use of data and innovative theories to drive decision-making. This is also illustrated in the belief of administrators that as long as progress is being made, all organizational values do not have to be progressing equally. The clan culture is evident in the importance that individuals are given in the organization. Flexibility is emphasized as long as the focus is collaborative and directed at meeting the needs of individuals. Critiques and questioning of administrative decisions are viewed as productive as long as they are not attacking. Finally, elements of the market culture are seen in the fact that the organization views budget cuts as a positive thing in as much as they hold the members accountable for fiscal responsibility to the community and encourage innovative strategies for accomplishing the goal of increased public safety.

Cultural Comparisons: Drawing the Data Together to Consider Cultural Alignment

As previously discussed, the organizational structure of ASD and the professional characteristics of community corrections agencies support the expectation that the ASD PPO professional subculture will be considerably different from the overarching organizational culture represented by the administrators. This difference is demonstrated in Figure 22 in which the current cultural perceptions of the PPOs and the administrators are compared.

Figure 22: ASD Administrator and PPO Perception of Current Organizational Culture



There are certainly some considerable differences between how PPOs and administrators perceive the current organizational culture. PPOs perceive that the culture of ASD has more internal control mechanisms and administrators perceive that the organization incorporates more elements of flexibility and discretion. These differences make intuitive sense. Administrators may perceive the organizational culture to have more elements of inclusion (clan), innovation (adhocracy) and less elements of formal control (hierarchy) because they are able to observe how these elements take place across the entire organization. PPOs, on the other hand, only see how these practices take place within their own operating unit.

The common bond between the two groups is in their perception of how elements of market type cultures effect the organization. Both administrators and

PPOs perceive that market or fiscally driven systems are an important part of the culture and necessary to help the organization successfully compete for funding. As described in earlier sections of this chapter, the funding pressures exerted by the external environment have considerable impact on the functions of ASD. These pressures have resulted in the development and implementation of creative strategies even as they have limited progress toward organizational innovation. The survey responses from both PPOs and administrators demonstrate that both groups appreciate the organization's cultural values around market based issues.

The findings that result from the comparison between the current cultural perceptions of the PPOs and administrators at ASD is meaningful in that they demonstrate that the two groups are reasonably well aligned in easily explained ways. While there are areas that could be explored to achieve closer alignment, decision-makers might have good reason to preserve the status quo. The critical question for the future success of the organization has less to do with the alignment between how the two groups perceive the current culture and more to do with alignment of the culture that they think the organization should strive attain. Figure 23 illustrates the comparison between PPO cultural preferences and the preferences of the administrators.

Figure 23: ASD Administrator and PPO Preferred Organizational Culture

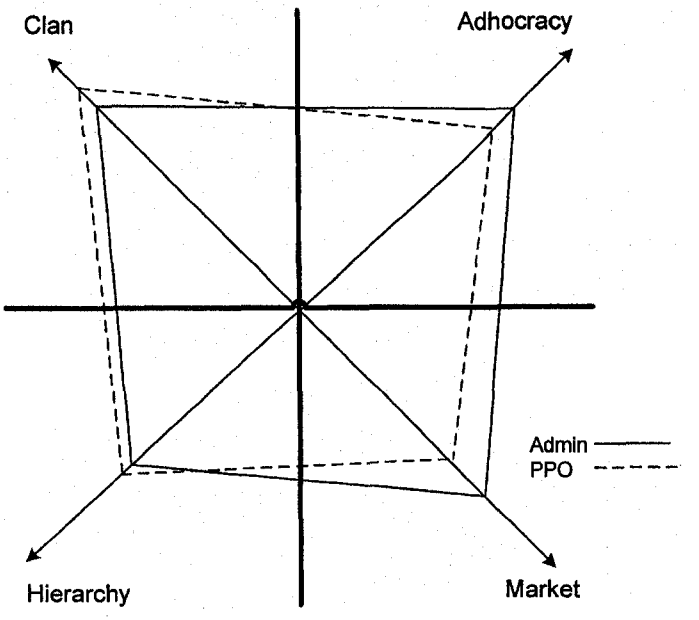


Figure 23 demonstrates that both the administrators and the PPOs would prefer to have a culturally balanced organization. That is, both groups would prefer an organizational culture that includes characteristics of all four culture types. The PPOs would like to have a slightly greater cultural focus on elements of collaboration and the administrators would prefer more innovation and consideration of market-based competition. However, the dissimilarity between the groups is well below what Cameron and Quinn (1999) have identified as differences that should cause concern. Thus, although the organizational decision-makers and the professional core of PPOs may differ in their perspectives and opinions regarding ASD as a functioning organization, they are remarkably similar in their goals and vision about how the

organizational culture should be. Despite the fact that they will take differing paths to get there, they both intend to reach the same organizational destination. This demonstrates a similarity of vision and focus that shows that the vision of the organizational leaders has been integrated into the PPO professional culture.

Conclusions

This research was designed to answer the following two questions: 1. How does the PPO professional subculture operating within ASD affect the change agenda initiated by ASD administrative leaders? 2. How important is the alignment between the professional culture of PPOs and the organizational culture created by ASD administrative leaders in the fulfillment of the tasks required in the organizational change agenda?

In response to the first question, this research has demonstrated some of the ways in which the professional subculture of PPOs has an effect on the organizational change initiative in which ASD has engaged. The findings make clear that PPO culture types are not a good predictor of productivity as measured by the elements of the trimester reports. No culture type demonstrates a significantly greater likelihood of completion of trimester reports than any other. The findings also show that the overarching organizational culture of ASD has more of an effect on PPOs than they have on it. PPO culture type has not significantly effected the organizational change initiative, but the overarching organizational culture has influenced PPO's cultural preferences. The consequences of these findings for the two research questions posed

in Chapter III are considerable.

Hypothesis One: The PPO subculture operating within ASD does have a significant affect on the change agenda initiated by the organization.

The regression analysis comparing PPO professional subculture types with trimester report data fails to support hypothesis one. The PPO subculture operating within ASD does not have a significant affect on the change agenda initiated by the organization. Therefore, while PPOs attitudes and behaviors may frequently be the focus of administrative attention, it is as important to the organizational change effort to consider how the organizational culture as a whole affects the professional subculture as it is to understand how PPOs may support or hinder change initiated by leaders at the top.

Hypothesis Two: Alignment between the professional subculture of PPOs and the overarching organizational culture is relatively unimportant in the fulfillment of the tasks required in the organizational change agenda.

The data collected from culture surveys completed by PPOs and administrators fail to support hypothesis two. Alignment between the professional subculture of PPOs and the overarching culture is important in the fulfillment of the tasks required in the organizational change agenda. However, the importance of cultural alignment is not readily apparent if one only considers that culture type does not significantly affect PPO productivity and that there are considerable differences between the PPO professional subculture and the administrative functional unit that represents the overarching organizational culture. Taken together, these two findings suggest that

alignment between the two cultures is unimportant, thus confirming the original hypothesis. However, when one compares the alignment between the cultural preferences of both the PPO and administrative cultures, there is remarkable correspondence.

In practice, the alignment between the preferred PPO subculture and the preferred administrative culture seems to overshadow any differences that exist at the subcultural levels. Since PPOs culture does not affect operational outcomes, which continue to progress toward the implementation of the organizational change agenda, it is important to consider that cultural preferences do play a strong role in the organizational change initiative undertaken by administrative leaders. Therefore, the totality of the data collected fail to support hypothesis two because the differences between the two organizational subcultures do not negatively affect the organizational change agenda. If both cultures did not share a common vision of success, the organizational change initiative might well have faced greater challenges than it has.

CHAPTER V: IMPLICATIONS FOR PRACTICE AND RESEARCH

Summary of Findings

As described in Chapter I, the motivation for the implementation of innovative strategies in community corrections is based on internal and external pressure on organizations to demonstrate the effectiveness of their efforts to increase public safety. Policy makers and the public have increasingly demanded evidence that the costly strategies used in corrections organizations either incapacitate or rehabilitate criminal offenders with an overall reduction in the likelihood that citizens will be the victims of criminal activity (Wilson, 2002, p. 556-557). In ASD, supervision strategies based on the research encompassed in the "What Works" literature (Latessa & Lowenkamp, 2006) have been used to form the basis of what is nationally referred to as evidence-based practices (EBP). An increasingly common argument in the professional field of community corrections asserts that the successful implementation of EBP must include the integration of EBP strategies, collaboration with community stakeholders, and ongoing organizational development (Joplin et al, 2004).

This dissertation uses a case study of one community corrections organization, the Multnomah County Department of Community Justice: Adult Services Division (ASD), to demonstrate how organizational development theory can be used to examine the effect of the probation and parole (PPO) subculture on the larger organizational change initiatives undertaken by administrative leaders. The goal of this project is two fold. First, this dissertation was designed to examine some of the

variables associated with organizational culture that are important in transforming political and social pressure for increased public safety into more effective correctional practices. Second, the research is especially focused on discovering the factors that make meaningful differences at the first line supervisory level of the organization.

In carrying out this research, three analytical methods were used to derive a broad spectrum of organizational data. First, a regression analysis ties organizational culture to practice outcomes. This gives practical meaning to the research by demonstrating that the organizational culture types (i.e. hierarchy, clan, market, adhocracy) identified in this study cannot be used to predict the completion of operational tasks (ie. risk assessments, needs assessments, caseplans) that ASD uses to demonstrate success. There is no statistically significant difference between the completion rates of trimester reports by PPOs who prefer one culture type over another. Thus, no increased operational success – as defined by the completion of trimester reports, can be be expected from an organizational focus on culture change.

Second, data derived from an organizational survey completed by PPOs and administrators defines some of the broad characteristics of the organizational culture at ASD. These data illustrate what the organizational culture looks like at by taking an organizational snapshot of both the PPO professional subculture and the overarching organizational culture as perceived by the decision-makers who have been instrumental in its creation. The survey data provide research value for the members of the organization by translating the research findings from a statistical analysis to a

graphic depiction of the organizational culture that makes sense based on what the members already experience as participants in the culture.

Finally, the guided group interview allows consideration of the specific cultural elements of ASD that may help or hinder the innovative strategies in which they are engaged. The information drawn from a guided group interview of a core group of administrators highlights several of the unique elements of ASD's culture. Although the organization may find it easier to use the data collected in the regression analysis and the culture surveys to make broad decisions about future practices, the guided group interview facilitates introspection about the underlying implications of practices relative to culture.

The researcher is particularly interested in research that meaningfully informing administrative decision-making at the supervisory level. Meaningfulness, however, is largely defined by the usefulness of the information to the practitioners. This research has met this test because it was designed based on organizational questions posed by ASD's administrators to inform their operational practices. The research has the potential to inform decision-making as it relates to the measurement of success, administrative intention, and organizational innovation. The following section addresses some of the practical implications of the research for both administrators and researchers in the field.

Implications for Practice

In this dissertation, the researcher has asserted that current trends in the field of

community corrections make it necessary for administrators to consider innovative organizational change strategies to increase public safety. Further, criminal justice administrators face pressure to maintain the status quo even as they are expected to produce successful outcomes that can only be expected through innovation of practices. The broader implication of this assertion is that administrators will have to draw upon scholarly research to support their innovative efforts. Administrators who develop proficiencies in the interpretation of theoretical concepts will be able to make meaningful decisions about how best to use scarce resources to measure organizational variables by framing their strategies around demonstrated outcomes. This research demonstrates how administrators in community corrections might make use of organizational variables to create and perpetuate systems for the collection of organizationally relevant data that can be used to support organizational innovation over time. The following sections describe the importance of this research in ASD.

The Value of Organizational Culture Research in Meaningfully Informing Measurement of Success in Undertaking Organizational Change

Consistent messages from top decision-makers have supported ASD's organizational change initiatives over time. However, a recent change in leadership raises questions about the future. From the inception of its organizational change initiative, ASD has dedicated resources to measuring its operational success. The resultant information has been used to inform internal decision-making and educate organizational stakeholders. The former director of the Multnomah County Department of Community Justice, who is credited with initiating the current

organizational change, is now the director of one of the leading national non-profit agencies engaged in assisting other community corrections agencies to make similar changes[7]. Her successor, who held the position of director for more than eight years, had also been part of the original change initiative. For ASD, this consistency of leadership provided stability for the organizational change initiative. However, several weeks after this study began, the director chose to leave the organization to accept the directorship of another large agency in the county.

The new director came from outside of ASD. Although dedicated to and well versed in both evidence-based practices and organizational development strategies, his cultural expectations vary somewhat from the organizational culture upon which ASD's innovative strategies were built. The new director is aware of the organizational culture in a way that the current administrators are not (see Schein, 1992). As an outsider to the change process, external evidence becomes especially important in validating the value of the change initiative.

The new director informed the researcher that the organizational data provided by this research is meaningful to him in that it establishes a measurement against which success can be gauged. He further explained that he is often frustrated by the efforts of his colleagues across the nation because they cannot demonstrate success in their practices by providing measurable benchmarks or outcomes. When asked how they know that they are making a difference in public safety, most of the administrators, he observed, simply assert their confidence in the quality of their work

[7] The Crime and Justice Institute at http://crjustice.org/cji/index.html.

based on gut feelings combined with a lot of hope. These administrators, he asserts, have no concrete measure of success. For the purposes of the new director, this study sets an important benchmark against which to measure the progress of the organization for future administrative decision-making.

The Value of Research in Meaningfully Informing Intentionality

One of the characteristics of ASD that made it particularly appropriate for this research is its intentionality in initiating change and its dedication to self-analysis. Even as the administrators strive to implement the most innovative strategies available, they also make efforts to collect information that can be used for self-improvement. The problem, as is frequently the case with self-initiated and self-monitored improvement processes, is an internal bias favoring the status quo change efforts. This bias occurs because of self-selected information (Simon, 1947) and an exclusive focus on variables that are deemed valuable (DiMaggio & Powell, 1983). Thus, administrators, including the current leaders at ASD, risk being blinded by their own expectations even as they strive for greater innovation. Even the most positive of intentions can lead to negative outcomes if organizations become too myopic in their change initiation processes.

During the guided group interview with ASD administrators, it became clear to the researcher that self-evaluation is a valued element of the organizational culture at ASD. Participants asserted that critique of organizational decisions is acceptable as long as it is not done in an attacking manner. Even as administrators expressed frustration with the tendency of some PPOs to be oppositional to policy decisions and

changes, they also recalled that they had been the same way when they were PPOs. While ASD administrators expressed pride about their successes in furthering the organization's mission and values, they were also able to discuss areas in which improvement was needed. For them, this research was meaningful in that it assisted them in clarifying their intentions. At no time was this more apparent than in a brief conversation that the researcher had with the out-going interim director.

Five years earlier, ASD had hired the interim director as the permanent assistant director of the Department of Community Justice (DCJ). Following an extensive career as the director of a community corrections agency in another county with different ways of doing business, he now reported to the director of DCJ and was responsible for insuring that the on-going organizational change strategies were successfully implemented by PPOs. Having come in rather late in the game, as compared with the other top administrators, he was responsible for developing an appreciation for the existing culture while also providing an outside perspective. During the recent leadership change at DCJ, he became the interim director, but expressed his intention to retire from the organization rather than seeking the permanent position. As such, he was responsible for transitioning the new director into the organization.

On his last day at work, the out-going interim director informed this researcher that the study had been important to ASD because it required them to consider data about themselves. Self-evaluation, he asserted, is necessary for growth. Taking a look at the culture by participating in the study required that they consider whether they are

really doing what they say they are doing and that the findings are a result of their administrative interventions. He informed the researcher that it was gratifying to discover that administrators had done a good job of instilling the overarching values of the organization into the PPO professional subculture. However, he also said that the study provided insight into areas that could be improved upon.

The Value of Research in Meaningfully Informing Strategies

The administrators in ASD pride themselves on their continuing efforts to promote open communication between members of the organization at all levels. They told the researcher that they have tried to limit the hierarchical structure of the organization in as many ways as they can. Administrators said that they want to base their decisions on the needs of individuals as well as the organization as a whole. However, they also said that they know there is an inherent disconnection between them and the professionals who make up the organization's operating core. This disconnection limits direct communication between the two groups. Therefore, administrators indicated that this research was meaningful to them in its ability to inform them about how their innovative strategies are perceived by PPOs and how the professional subculture compares with their own subculture. The research served an evaluative function in that it helped the administrators consider whether they were correctly interpreting ASD's internal environment.

The Value of Research in Meaningfully Including Organizational Members

An important element of this research was the dissemination of findings to members of the organization. To that end, presentations were made to two groups of

administrators as well as staff from all levels and professional roles in the organization. The first group of administrators consisted of the participants in the guided group interview. As previously discussed, this group was limited to the organizational leaders in ASD who had been instrumental in the development of the organizational change strategies. The second group included administrators whose responsibilities are not limited to ASD. Both groups expressed interest in the information that could be gained from an aggregate view of the distinct elements of the organizational culture.

The ability to consider ASD's overarching culture and the PPO subculture relative to the other organizations gave administrators a broad appreciation of how current practices have been useful on an organizational level. As previously asserted, the overarching culture in ASD is similar to other organizations that have been successful over time in that it balances all four culture types (i.e. hierarchy, clan, adhocracy, and market) relatively equally (see Cameron & Quinn, 1999). The PPO subculture is similar to other professional cultures in which discretion is valued but limited by the decision-making authority of top administrators. As would be expect, the members of the professional subculture desire more discretion than they receive from the organization.

After the research findings had been presented to them, both participant and non-participant administrators told the researcher that the study was meaningful to them in its ability to summarize and explain the differences between the overarching organizational culture and the PPO professional subculture while also helping them to

reconsider leadership strategies. For example, it is not uncommon for PPOs in ASD to openly express their disagreement with administrative decisions. As administrators considered some of the criticism that PPOs have expressed in response to the implementation of change strategies, the graphic comparison of the administrative culture and the PPO professional subculture illustrated that PPO behavior may be an element of their culture. However, research findings also show that PPOs value innovation, collaboration, fiscal responsibility, and (in some cases) hierarchical elements of the organizational culture. These values are quite similar to the administrator's own culture. However, the researcher has observed that conversations between PPOs and administrators are frequently about the differences between the two groups rather than their shared goal and values. The demonstration of shared values encouraged administrators to make efforts to communicate their goals and values with PPOs in a manner that would resonate more strongly with the professional subculture.

Implications for Future Research

This dissertation has set the stage for considerable research possibilities both within ASD and in other community corrections organizations. The researcher is most interested in three areas: organizational development research directly applied to community corrections settings at the first line supervisory level, organizational leadership research to identify factors that motivate corrections administrators to participate in organizational research, and organizational culture research that compares similar agencies.

Organizational Research at the First Line Supervisory Level: Further Research in ASD

Organizational research exploring a broader range of variables in ASD would be valuable to organizational scholarship. This research study demonstrates that, despite their differences, the PPO professional subculture is aligned with the overarching organizational culture in ASD in its support of the vision and goals of the organization. However, the subculture types identified in this study do not have an effect on organizational productivity as defined by administrators through trimester report scores. Culture, as measured in this study, does not play a significant role in determining whether PPOs complete trimester reports.

Scholars in the field of organizational development and change strongly argue that organizational culture is an important variable in the successful implementation of change initiatives. This may indicate that the culture survey used does not adequately capture elements that affect productivity. It may also indicate that trimester report scores are not an appropriate measure of organizational success. Further first line level organizational research would be helpful to identify more appropriate measures of organizational change. The areas of subcultural misalignment identified in the study research might then be used to develop strategies for making incremental changes in practices that can result in the greater alignment of organizational cultures.

Organizational culture research would also be beneficial to other professional subcultures in ASD. PPOs are only one of the organization's many subcultures. ASD includes large cohorts of staff who work as support staff, treatment counselors, and

middle managers. Organizational culture research would provide a greater understanding of how these subcultures affect the organizational change strategy as well. Further, the Department of Community Justice also includes a juvenile justice system that parallels ASD. Based on the positive feedback from administrators in ASD, it can be assumed that a duplicate study in the Juvenile Justice Division would be beneficial to the larger organization.

ASD administrative leaders should also consider that culture is only one of the organizational variables that they might explore. Innovation strategies for program implementation could be considered by evaluating the current organizational structure. Organizational development of the external environment would assist ASD in building social capital with stakeholders and community collaborators. The internal organizational environment might be strengthened through an evaluation of the roles of organizational membership as it relates to the development of ASD's future leaders.

Identifying Factors that Motivate Interest in Organizational Research

In developing this study, the researcher was strongly influenced by the assertions of James Q. Wilson regarding research and crime policy. Wilson (2002) posits that there is insufficient scholarly research to inform criminal justice practices because local administrators lack the necessary motivation to participate in studies designed to test the effectiveness of practices. Scholarly research studies that result in statistically valid results are costly and take time. Further, there is no guarantee that the research will demonstrate that current practices have been successful. Therefore, Wilson asserts, administrators are more motivated to continue with questionable

practices that have public support than to conduct research that might provide evidence of failure (p. 556-557).

In this study, the researcher included an analysis of how cultural variables affect measures of productivity due to concerns that administrators at ASD would be less likely to participate in an organizational culture study that did not speak directly to operations level variables. Further research is needed to determine whether this assumption is accurate. As community corrections administrators become increasingly aware of innovative practices that demonstrate a reduction in recidivism, they may be motivated to engage in a variety of organization level studies. Studies about what motivates corrections administrators to participate in any type of scholarly research would assist scholars in organizational development as well as criminal justice to design methods to tap into that motivation.

Generalizability: Duplication of the Research in Other Community Corrections Organizations

This study of ASD takes a first step toward bridging a gap between the scholarship in criminal justice and public administration. However, as is the case with any single case study, the immediately apparent limitation is the inability to generalize findings to other settings. Even though it has been asserted that ASD incorporates elements that make it typical of other community corrections agencies, the validity of the research would be increased by comparison studies conducted in other organizations.

The reliability of Cameron and Quinn's (1999) organizational culture survey

was established through use in thousands of organizations across a variety of professional fields. Similarly, the reliability of this research will be greatly improved by comparison studies in other community corrections settings and across a variety of corrections settings as well. Studies conducted in other sites will be useful in understanding how ASD compares with other community corrections organizations. It will be helpful to survey PPOs and administrators in other community corrections organizations that have implemented elements of the "What Works" probation and parole strategies and those that have intentionally not implemented these strategies. These data will speak to the organizational characteristics of community corrections cultures in which innovative strategies are considered at all to determine whether culture is an important variable.

Implications for Theory

Even though this single study site limits the generalizability of this research, the findings raise important theoretical questions because they do not support anticipated outcomes. Based on the organizational (i.e. Cameron & Quinn, 1999; Mintzberg, 1993; Schein, 1999) and professional (Lynch, 1998; Schneider, Ervin, Snyder-Joy, 1996) literature used to support this study and Lipsky's (1980) research supporting a functional disconnect between street-level bureaucrats and administrators, the researcher anticipated misalignment between the administrative culture and the PPO professional subculture. In addition, personal experience as an operations level professional in prisons, jails, and community corrections settings led

the researcher to anticipate only superficial acceptance of administratively enforced organizational change mechanisms by PPOs at ASD. Instead, this study demonstrates that the PPO professional subculture has accepted the administratively defined organizational culture in their implementation of practices related to the change initiative. Therefore, in this setting the prevailing research appears to be wrong.

These findings raise theoretical questions about the organizational structure of community corrections agencies, the role of middle management in policy implementation in community corrections, and the nature of the professional culture of probation and parole officers. The process of organizational change in community corrections may not follow the previously held theoretical expectations.

Community Corrections as an Organizational Hybrid between Machine and Professional Bureaucracies

On the level of organizational structure, it appears that, in community corrections agencies there may be a theoretical gap between machine bureaucracies with unyielding hierarchical systems and professional bureaucracies that are driven by the professional expertise of the operating core. Within community corrections organizations, a hybrid organizational structure may exist.

For the purposes of this research, the elements of a machine bureaucracy, as defined by Mintzberg (1993) are used to characterize the organizational structure of ASD. Although Mintzberg uses prisons rather than community corrections agencies as an example of machine bureaucracies, ASD has many of the same organizational elements. First, ASD requires systematic outcomes, in the form of trimester reports,

which are used to benchmark success. Second, the enforcement elements of the work of PPOs demands the use of paramilitary training and techniques that require a controlled similarity between the actions of individuals. For example, all PPOs are trained to make an arrest in the same way, using the same tools, and the same techniques. Finally, ASD has a hierarchical organizational structure. Even though members of ASD do not adhere to the same sort of rank structure that a police agency does, there is a definite hierarchical structure to communication and expectations. In this research, the presence of hierarchical structure was demonstrated by the members of the administrative functional unit who, during the guided group interview, made reference to their attempts to reduce the presence of hierarchy in the organization. If hierarchical elements had not been present, there would have been no need to attempt to remove them.

Even though strong elements of a machine bureaucracy exist in ASD, they fail to explain the findings of this research. In a machine bureaucracy, it is reasonable to expect that the subculture of the operating core would not have an effect on the completion of assigned tasks because directions given from administrators are simply carried out by the operating core. Further, one would expect to find a cultural misalignment between the strategic apex and the operating core. However, one would not expect to find (as is demonstrated in this study) that the preferred subcultural style of the operating core is in alignment with the strategic apex. This type of organizational alignment is much more similar to that which would be expected in a professional bureaucracy.

Mintzberg (1993, p. 189-191) defines a professional bureaucracy as one in which the operating core is the key element of the organization. Even though the anticipated outcomes are standardized based on the desired results of the organization, professional bureaucracies rely on the specialized skills of professionals who receive their training prior to entering the organization. Therefore, considerable discretion is given to individuals at the operational level of the organization.

At ASD, PPOs are given professional discretion over many of their operational tasks. They are constantly expected to take action with offenders using their own best judgment. In addition, the entire organization focuses on the professional practices of the PPO as the visible element of the practice of enforcing probation and parole sentences on the offender population. These practices, in fact, form the basis for the benchmarking of trimester reports to demonstrate organizational change. However, unlike a professional bureaucracy, PPOs are not expected to enter the organization with any specific professional training. The organization teaches PPOs how to do the professional work (e.g. specific methods for working with and arresting offenders) that is expected of them.

Therefore, this research suggests that community corrections organizations may exist within some sort of hybrid structure that lies between machine bureaucracies and professional bureaucracies. Community corrections organizations exhibit many of the structural elements of the type of paramilitary system found in other criminal justice organizations. This study demonstrates that more research is needed to explore a hybrid between the two organizational structures that takes place

in criminal justice settings that do not easily fit into either structure type.

The Importance of Middle Managers in Community Corrections

This study also raises considerable questions about the value of middle managers in bringing about organizational change in community corrections settings. This research was designed based on the assumption that the important elements in understanding the role of the PPO professional subculture in implementing organizational change are the administrators who make up the strategic apex and the PPOs who make up the operating core. This is because, in the type of hierarchical structure found in machine bureaucracies, middle managers only serve to carry the orders of the top decision makers to the operating core and to hold the operating core responsible for carrying out the orders from above.

The organizational structure, therefore, results in a formulation-implementation dichotomy (Mintzberg, 1993, p. 185) in which effective change is impossible unless the administrative decision-makers have complete information about the operating environment and the organizational environment remains stable enough that there is "no need for reformulation during implementation" (p. 185). If such is not the case, the middle managers are only a layer within the cumbersome process that makes change particularly difficult. As such, middle managers become a hindrance in the change process.

However, the results of the culture surveys in this study demonstrate that middle managers in ASD have aided the change process. Both the administrators and the PPOs value collaboration with middle managers. When asked about the

organizational culture as it relates to the two categories of leadership and management, both administrators and PPOs indicated that they would prefer more of the cultural elements of a hierarchy in leadership and more of the elements of a clan culture in management. Both groups, therefore, desire stability and direction from the strategic apex and value collaboration from middle managers. This argument is further born out by requests from members of ASD that the middle managers (called Criminal Justice Managers) be included in future research.

Within community corrections environments, the role of middle management may play a much stronger role than has been previously explored. Rather than hindering the implementation process, middle managers may play the pivotal role in an organization that depends upon a hybridized machine bureaucracy. For that reason, middle managers should be included as active elements in the organizational change strategy in community corrections settings.

The Balance Professional Culture of Probation and Parole Officers

At the operations level, further consideration must be given to the nature of the professional culture of PPOs. Misconceptions about the PPO professional culture will lead decision-makers in community corrections organizations to base their change strategies on assumptions about PPOs that will hinder change initiatives.

The literature on PPO attitudes toward the implementation of the type of change in which ASD has engaged (Lynch, 1998; Schneider et al, 1996) indicates that decision-makers should expect PPOs to be hesitant and even adversarial about change. In his writing on street-level bureaucrats, Lipsky (1980) argues that one must expect a

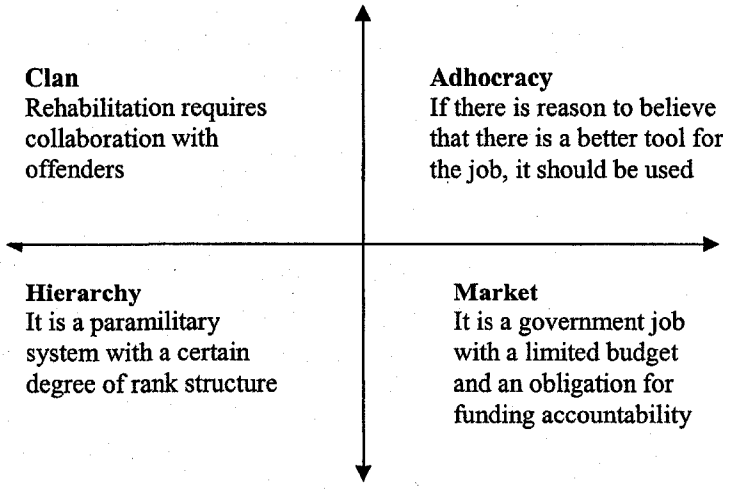
misalignment between the administrators and the operating core in social service occupations that demand professional discretion. However, this research demonstrates that even as PPOs perceive the type of misalignment that the literature suggests in the current organizational culture, they would prefer a culture that is quite similar to the overarching organizational culture defined by administrators. This is further supported by the findings that PPO culture type does not affect the completion of required tasks (i.e. trimester reports). In this organizational setting, there is no meaningful misalignment between the strategic apex and the operating core.

This study further demonstrates that the PPO professional subculture at ASD is not made up of the relatively limited elements that had been anticipated. Drawing upon the literature (Lynch, 1998; Schneider et al, 1996), the researcher's observations, and comments made by decision-makers about the sometimes adversarial tendency for PPOs to actively disagree with administrative strategies for change, the expected findings match the results obtained from culture survey data measuring how PPOs perceive the current organizational culture. That is, PPOs want more collaboration and less hierarchical elements in the overarching organizational culture. However, when asked what organizational culture they would prefer, PPOs supported a fairly even balance across all culture types.

These findings seem surprising until one considers the nature of the work that PPOs do and the types of skills that are required to be successful. As previously discussed, PPOs must draw upon skills that straddle enforcement and social service roles. Therefore, it is necessary for them to consider the value of a broad range of

organizational cultural perspectives. PPOs in ASD acknowledge that, in order to rehabilitate offenders, they must collaborate with them to bring about optimal change in the behaviors and life styles that tend to result in criminal activity. However, they also must accept that enforcement activities are a necessary element of public safety and holding offenders accountable for negative behavior. Enforcement requires a certain degree of paramilitary structure, which is particularly hierarchical in nature. In addition, PPOs are civil servants who depend on public resources to fulfill their professional mandate. Therefore, they must accept and work within the limited funds available. Finally, the PPOs at ASD demonstrate a belief that if there is a better tool for successfully protecting the public safety by changing offender behavior it should be used. Even if they do not trust the methods used to implement organizational change, they are interested in research that supports strategies for innovation. Figure 24 illustrates how these cultural characteristics fit into the organizational culture types, base on the Competing Values Framework, used in this study.

Figure 24: PPO Professional Subculture Applied to the Competing Values Framework



The ease with which PPO professional characteristics can be applied to all of the culture types identified in this study demonstrates that the professional culture may actually facilitate change rather than hinder it in favor of the status quo. Even though PPOs are adversarial to administrators at times, they embrace innovation. Even though they make negative comments about the operational tools used or the methods in which they are employed, PPOs complete the assigned task. Even though they, like all those who work toward public safety, face a lofty mandate, they collaborate with offenders and their colleagues to accomplish their professional goals within the limited funding of government systems. This balance of cultural characteristics within one professional culture indicates that PPOs, as a profession, may be similar to the culturally balanced organizations that Cameron and Quinn (1999) argue are most likely to be successful within changing organizational environments.

Conclusion

This research is intended to combine the fields of criminal justice and public administration in such a way that first line administrators in corrections organizations can make organizational changes to successfully implement practical strategies that perpetuate increased pubic safety. This research demonstrates one method by which this may be accomplished. First, it examines variables associated with organizational culture that are important in transforming political and social pressure for increased public safety into more effective corrections practices are examined. Second, special focus is given to discovering the factors that make meaningful differences at the first

line supervisory level. Further research is needed.

There is a need for practical collaboration between scholars and practitioners to produce meaningful results within corrections organizations. The ability to transform public pressure for public safety into effective corrections practices means that each person in our society benefits from the organizational success and suffers the consequences of organizational failure. How to produce effective corrections practices should not, therefore, be a question that is limited to theoretical speculation.

A focus on discovering the factors that make meaningful differences at the first line supervisory level means that corrections administrators who have the ability to bring about change in practices are able to access and apply theory driven tactics to aid their decision-making. Unless this step is included in the process of organizational research in corrections settings, the value of the theory is greatly limited. Theoretical discussions about effective organizational strategies for increased public safety cannot result in meaningful change unless they are acted upon in corrections settings.

This dissertation is a first step toward a practical combination of two scholarly fields into one very important practical application. The current organizational environment appears to be opening up a window of opportunity for scholars to reach out to practitioners and offer their assistance. It is especially appropriate, in light of the focus of this research, to mention that the professional cultures of academics and practitioners may not be easily combined in this effort. However, the common goal of public safety through the applied scholarly research provides ample justification for the effort.

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Appendix A: Organizational Culture Survey

Organizational Culture Assessment Instrument for Multnomah County Department of Community Justice –Adult Services Division

Survey Instructions

The purpose of this survey is to gain information about how you, the probation and parole officers in Multnomah County Department of Community Justice – Adult Services Division, perceive the organizational culture as it currently exists and how you think it *should be* in order to be highly successful. The organizational culture is the values, norms, and beliefs that define the character of ASD. In completing the survey, you will be providing a picture of how your organization operates and the values that characterize it across six dimensions of organizational culture. There are no right or wrong answers for these questions just as there is no right or wrong culture.

In this survey, you are asked to rate the Multnomah County Department of Community Justice – Adult Services Division as a whole rather than your individual work unit. The survey consists of 12 questions. Of the 12 questions there are two types.

Six of the questions ask you to divide 100 points among four alternatives depending on the extent to which each alternative is similar to your organization. Give a higher number of points to the alternative that is most similar to your organization. For example, in question 1, if you think alternative A is very similar to your organization, alternatives B and C are somewhat similar, and alternative D is hardly similar at all, you might give 55 points to A, 20 points each to B and C, and 5 points to D. Just be sure that the total equals 100 for each question. As you answer these questions, please give your answers to the "Now" column based on how you rate your organization as it is *currently* and give your answers to the "Preferred" column as you think it *should be* in order to be highly successful.

Within each of the six questions there is also a second type of question that asks you to rate the role of individuals within the organization. After reading the question, please select the number that represents your answer most closely.

Following each question, a space is provided for your comments. Please use this section to provide clarification about your answers.

Organizational Culture Assessment Instrument for Multnomah County Department of Community Justice –Adult Services Division

Survey

Divide 100 points among the four alternatives depending on the extent to which each alternative is similar to your organization. Give a higher number of points to the alternative that is most similar to your organization. For example, in question 1, if you think alternative A is very similar to your organization, alternatives B and C are somewhat similar, and alternative D is hardly similar at all, you might give 55 points to A, 20 points each to B and C, and 5 points to D. Just be sure that the total equals 100 for each question. As you answer these questions, please give your answers to the "Now" column based on how you rate your organization as it is *currently* and give your answers to the "Preferred" column as you think it *should be* in order to be highly successful.

1. Dominant Characteristics		**Now**	**Preferred**
A	The organization is a very personal place. It is like an extended family. People seem to share a lot of themselves.		
B	The organization is a very dynamic and entrepreneurial place. People are willing to stick their necks our and take risks.		
C	The organization is a very results oriented. A major concern is with getting the job done. People are very competitive and achievement oriented.		
D	The organization is a very controlled and structured place. Formal procedures generally govern what people do.		
	Total	**100**	**100**
Comments:			

After reading the question, please select the number that represents your answer most closely.

The characteristics of the organization are set. With the exception of a few powerful people, individuals cannot make it change.
Completely disagree 1 2 3 4 5 Completely agree
Comments:

Divide 100 points among the four alternatives depending on the extent to which each alternative is similar to your organization. Give your answers to the "Now" column based on how you rate your organization as it is *currently* and give your answers to the "Preferred" column as you think it *should be* in order to be highly successful.

2. Organizational Leadership		**Now**	**Preferred**
A	The leadership in the organization is generally considered to exemplify mentoring, facilitating, or nurturing.		
B	The leadership of the organization is generally considered to exemplify entrepreneurship, innovating, or risk taking.		
C	The leadership of the organization is generally considered to exemplify a no-nonsense, aggressive, results-oriented focus.		
D	The leadership of the organization is generally considered to exemplify coordinating, organizing, or smooth-running efficiency.		
	Total	**100**	**100**
Comments:			

After reading the question, please select the number that represents your answer most closely.

The leadership of the organization has a predetermined agenda that is not affected by staff input.				
Completely disagree				Completely agree
1	2	3	4	5
Comments:				

Divide 100 points among the four alternatives depending on the extent to which each alternative is similar to your organization. Give your answers to the "Now" column based on how you rate your organization as it is *currently* and give your answers to the "Preferred" column as you think it *should be* in order to be highly successful.

	3. Management of Employees	**Now**	**Preferred**
A	The management style in the organization is characterized by teamwork, consensus, and participation.		
B	The management style in the organization is characterized by individual risk-taking, innovation, freedom, and uniqueness.		
C	The management style in the organization is characterized by hard-driving competitiveness, high demands, and achievement.		
D	The management style in the organization is characterized by security of employment, conformity, predictability, and stability in relationships.		
	Total	**100**	**100**
Comments:			

After reading the question, please select the number that represents your answer most closely.

The management style in the organization is characterized by predetermined norms of behavior that match the defined values and goals regardless of individual ability.				
Completely disagree				Completely agree
1	2	3	4	5
Comments:				

Divide 100 points among the four alternatives depending on the extent to which each alternative is similar to your organization. Give your answers to the "Now" column based on how you rate your organization as it is *currently* and give your answers to the "Preferred" column as you think it *should be* in order to be highly successful.

4. Organizational Glue	**Now**	**Preferred**
The glue that holds the organization together is loyalty and mutual trust. Commitment to this organization runs high.		
The glue that holds the organization together is commitment to innovation and development. There is an emphasis on being on the cutting edge.		
The glue that holds the organization together is the emphasis on achievement and goal accomplishment. Aggressiveness and winning are common themes.		
The glue that holds the organization together is formal rules and policies. Maintaining a smooth-running organization is important.		
Total	**100**	**100**
Comments:		

After reading the question, please select the number that represents your answer most closely.

The glue that holds the organization together is the fact that it is a government agency. People stay because of the benefits and the retirement plan.
Completely disagree 1 2 3 4 5 Completely agree
Comments:

Divide 100 points among the four alternatives depending on the extent to which each alternative is similar to your organization. Give your answers to the "Now" column based on how you rate your organization as it is *currently* and give your answers to the "Preferred" column as you think it *should be* in order to be highly successful.

5. Strategic Emphases		**Now**	**Preferred**
A	The organization emphasizes human development. High trust, openness, and participation persist.		
B	The organization emphasizes acquiring new resources and creating new challenges. Trying new things and prospecting for opportunities are valued.		
C	The organization emphasizes competitive actions and achievement. Hitting stretch targets and winning in the marketplace are dominant.		
D	The organization emphasizes permanence and stability. Efficiency, control and smooth operations are important.		
	Total	**100**	**100**
Comments:			

After reading the question, please select the number that represents your answer most closely.

The organizational emphasis at any given time is determined by inevitable factors outside of the agency's control.
Completely disagree 1 2 3 4 Completely agree 5
Comments:

Divide 100 points among the four alternatives depending on the extent to which each alternative is similar to your organization. Give your answers to the "Now" column based on how you rate your organization as it is *currently* and give your answers to the "Preferred" column as you think it *should be* in order to be highly successful.

6. Criteria for Success		**Now**	**Preferred**
A	The organization defines success on the basis of the development of human resources, teamwork, employee commitment, and concern for people.		
B	The organization defines success on the basis of having the most unique or newest products or services. It is a service leader and innovator.		
C	The organization defines success on the basis of winning in the marketplace and outpacing the competition. Competitive market leadership is key.		
D	The organization defines success on the basis of efficiency. Dependable delivery, smooth scheduling, and low-cost productivity are critical.		
	Total	**100**	**100**
Comments:			

After reading the question, please select the number that represents your answer most closely.

The organization defines success on the basis of the tracking of work outputs that may or may not have significance in realistic operational functions.
Completely disagree 1 2 3 4 Completely agree 5
Comments:

Appendix B: Guided Group Interview Script

The organizational culture is made up of the norms, value, and beliefs that determine behavior and define the character of an organization. There are overarching organizational cultures that define the unique character of a whole organization. For example, if we compare Microsoft with IBM, even though the two companies are both in the field of electronics, their organizational cultures give them vastly different characters.

The overarching culture, however, does not tell the whole story about the organization. Within each organization, there are subcultures defined by different variables. In Multnomah County Department of Community Justice, there are subcultures based on the population that is served (ie: juvenile versus adult offenders), the type of work performed (ie: treatment providers, counselors, clerical staff, probation and parole officers, administrators), and the location of the work (ie: the Multnomah Building, the Mead Building, Donald E. Long).

The purpose of this meeting is to gather information about a very specific organizational culture within the Multnomah County Department of Community Justice: Adult Services Division. Today you will be defining the organizational culture of the ASD administrators with decision-making authority regarding the implementation of evidence-based practices in the supervision of adult offenders. You have been selected to participate because your norms, values, and beliefs have helped to define the organizational character around which PPOs have been tasked with implementing the performance outcomes (ie: risk assessments, case plans, contact standards, etc.) by which evidence-based supervision takes place. Put simply, you have set the tone of the organizational change intervention that put *"What Works"* strategies into place starting in the mid 1990s, and continuing into the future.

The Organizational Problem – Insure that evidence-based practices continue beyond the current administration as a fundamental element of ASD, not just a legal mandate.

Artifacts/Visible Elements – visible organizational symbols, structures, and processes that define who we are and what we do

Cultural artifacts answer the question: What is going on here? To get an idea of what I mean by this, think about prisons. What is the first thing that comes to mind? When you thought of prisons and saw a picture of cell bars, razor wire, or inmates in orange jumpsuits for example, you identified some of the cultural artifacts. You can do the same thing with police, fire fighters, doctors, etc.

From your perspective, describe the ASD organizational culture through its artifacts. When you first came to this organization or started your job as an administrator, what did you notice about the organization?

- The visible products of the organization
- Language/vernacular
- Technology
- Product
- Value statement
- Clothing/uniforms

- Manners of address
- Emotional displays

As you tell me about the artifacts of ASD, I will write them down. Please think of as many as you can. There are no right or wrong answers.

Espoused Values – strategies, goals, and philosophies

The espoused values of a culture answer the question: Why are you doing what you are doing? Of the cultural artifacts that are listed, select those artifacts that you all agree are the most effective in representing ASD. Explain the reasons why these artifacts are used or exist. (ie: Why do PPOs wear the type of jacket they do in the field?) Some of the espoused values may be found in the stated values, mission, or other materials that are formally published about the ASD. Think about what keeps these values in place.

As you give me this information I will write it down. Again, there are no right or wrong answers, but you should feel free to disagree with the information that is provided or provide alternate answers for the same artifact.

Shared Underlying Assumptions – unconscious, taken-for-granted beliefs, perceptions, thoughts, and feelings

Both the organizational artifacts and espoused values are pretty easy to see or identify. They make up the public face of the organizational culture. However, the underlying assumptions that most directly affect the norms, values and beliefs of ASD are not as obvious, especially to those who have existed within it for a period of time or helped to define it. Consider the old adage about the fish being the last one to realize that it is in water. In order to identify the underlying assumptions that exist in the administrative culture of ASD, you need to look for inconsistencies between the artifacts and the espoused values. By doing this, it is possible to shine a light on the differences between what you *want* to happen and what *is* happening. Then you can dig deeper to discover the assumption that is *really* governing the organizational behavior.

Compare the espoused values with the organizational artifacts to determine whether there are conflicts between what has been described as going on (artifacts) and what can clearly be explained (espoused values).

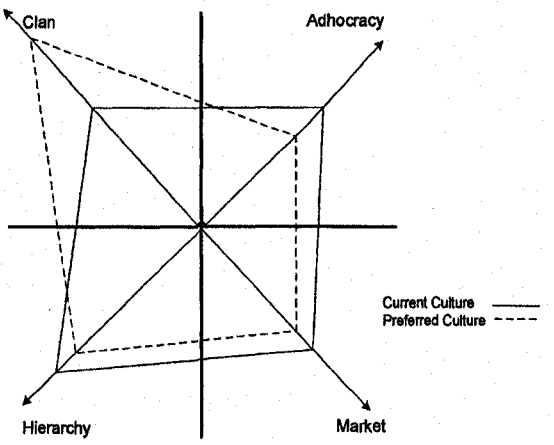
Assessment of the Shared Assumptions – how do the shared underlying assumptions help or hinder the organization in successfully solving the defined problem?

It is easier to strengthen the existing culture than to change it. Therefore, it is important to focus on the assumptions that help solve the problems as much as possible. Identify the shared assumptions that are or could be an asset in the perpetuation of evidence-based practices. Next, identify the cultural elements that are real constraints to this goal. What positive elements of the culture can be drawn upon in order to change the negative elements?

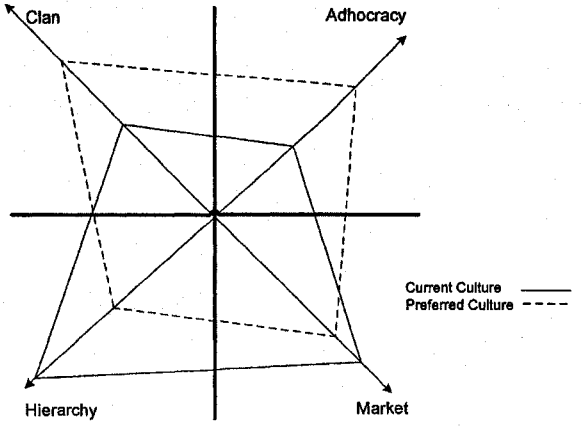
Survey based on Schein, E.H. (1992). *Organizational Culture and Leadership, 2nd Ed.* San Francisco, CA: Jossey-Bass.

Appendix C: PPO Professional Subcultures by Work Unit

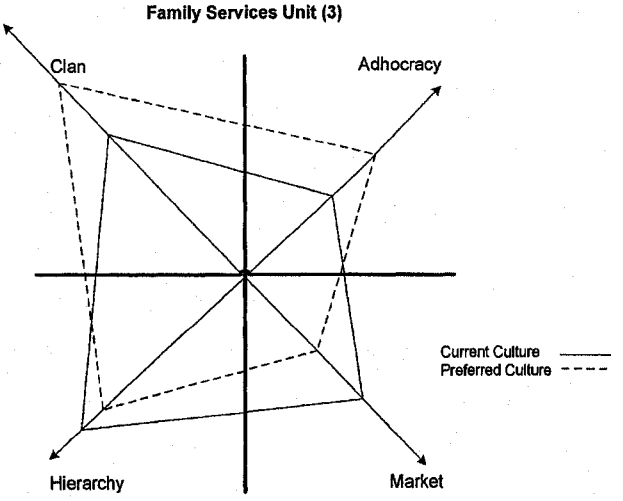
: Drug Unit (6)



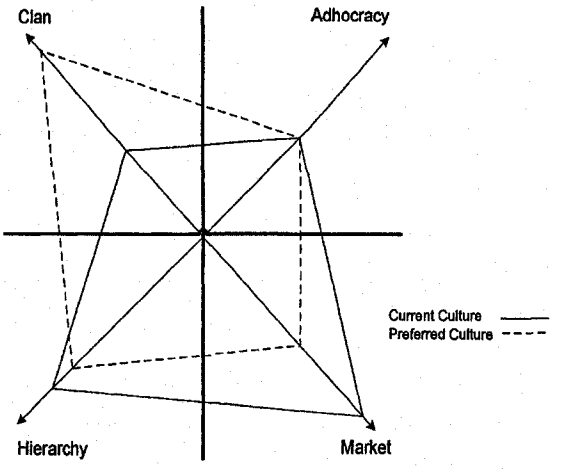
Domestic Violence Unit (6)



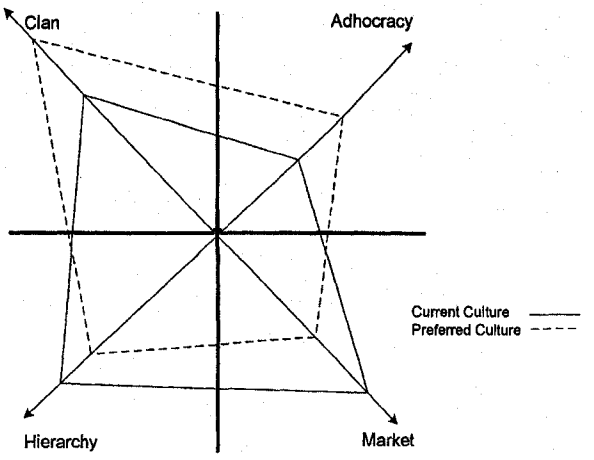
Family Services Unit (3)



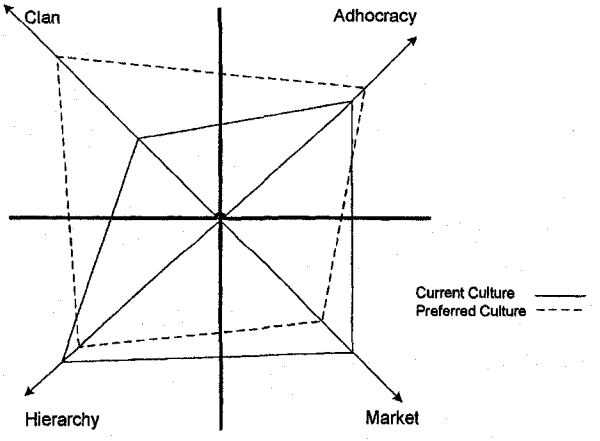
Intake Unit (8)



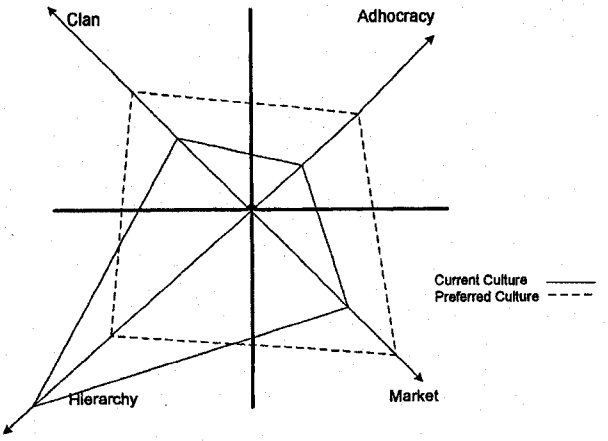
Local Control (2)



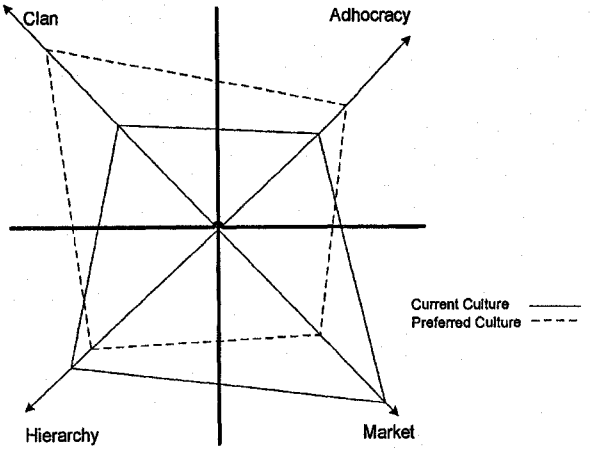
Mental Health (3)



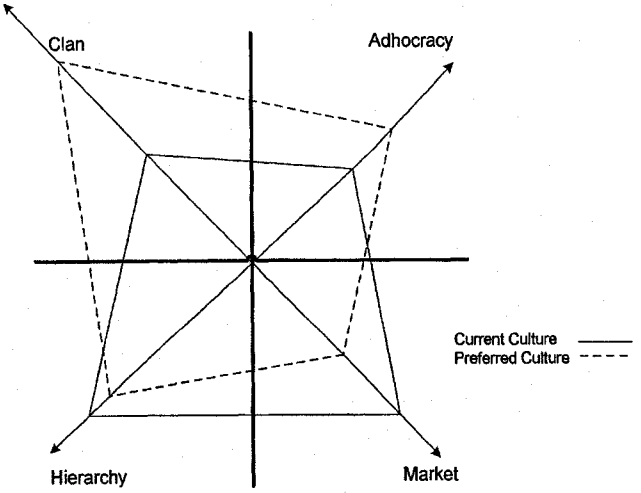
MTCE (6)



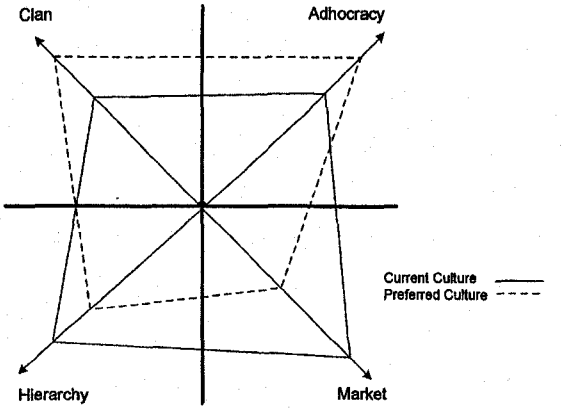
MTEA (10)



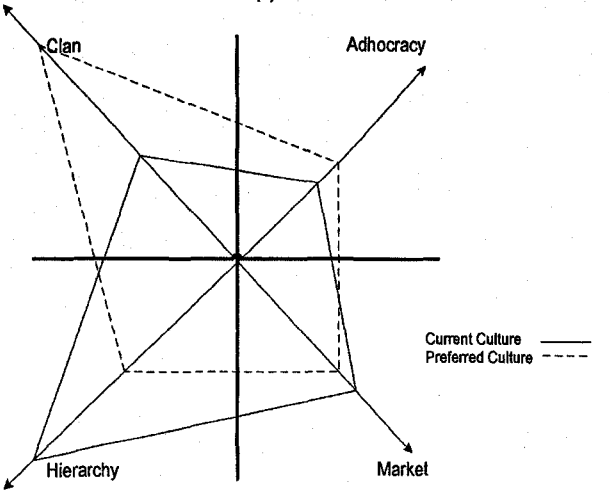
MTGR (9)



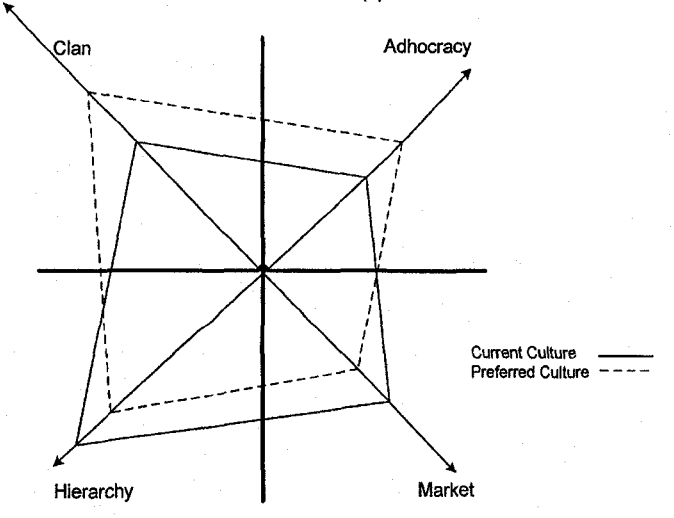
: MTNO (9)



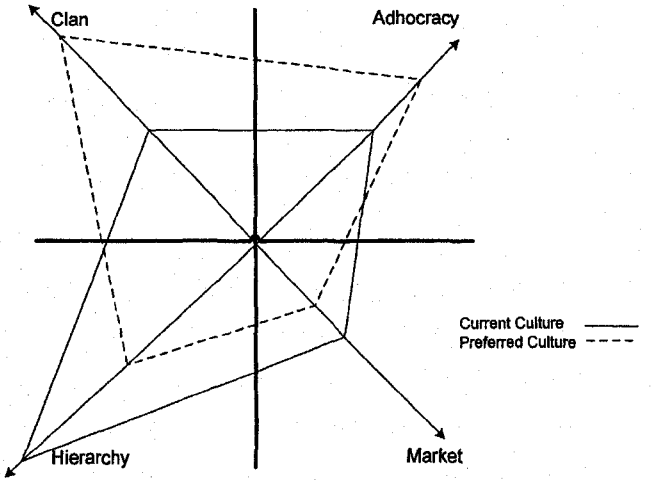
MTSW (7)



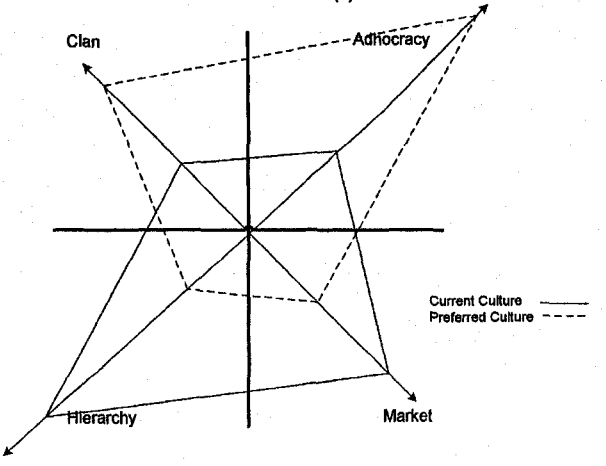
MTEA Sex Offender Unit (2)



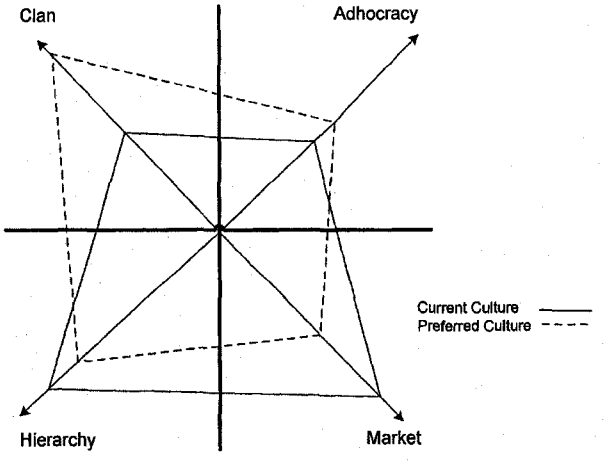
MTGR Sex Offender Unit (3)



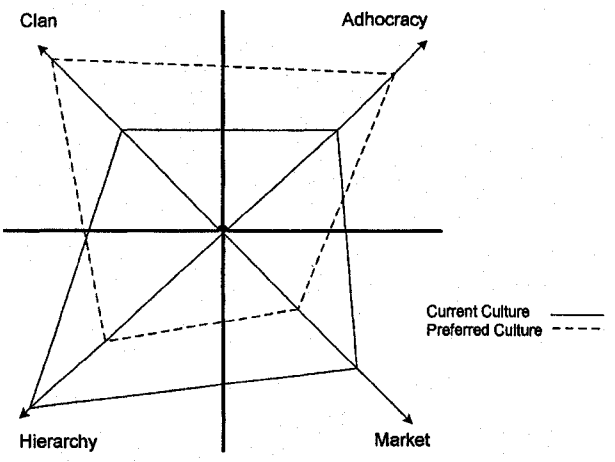
MTNO Sex Offender Unit (2)



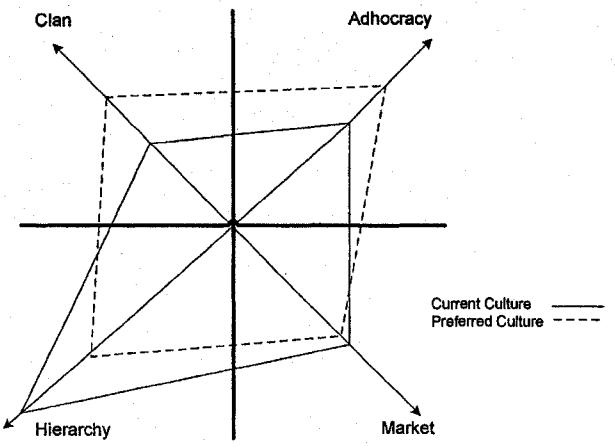
MTSW Sex Offender Unit (5)



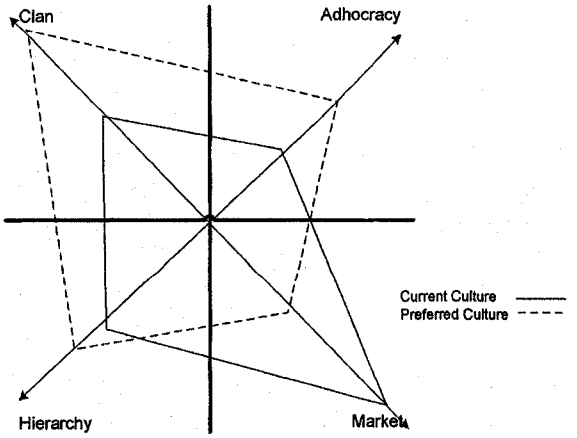
Sex Offender Caseloads (12)



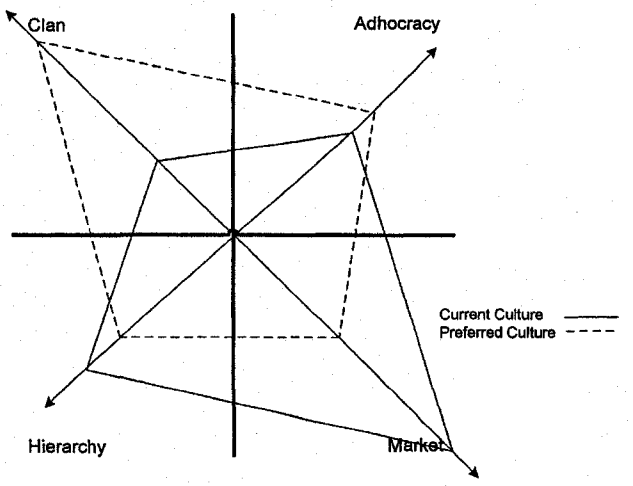
Specialized Supervision Team (2)



: Gender Specific Caseloads (2)



Pre-sentence Investigation (2)



Reduced Supervision Team (4)