

ANALYZING THE ORGANIZATIONAL CULTURE OF YOLO COUNTY
USING TWO ASSESSMENT MODELS

A Thesis

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by

Jason Robert Fox

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by

Jason Robert Fox

Approved by:

_____, Committee Chair
Mary Kirlin, D.P.A.

_____, Second Reader
Charles Gossett, Ph.D.

Date

Student: Jason Robert Fox

I certify that this student has met the requirements for format contained in the University format manual, and that this thesis is suitable for shelving in the Library and credit is to be awarded for the thesis.

_____, Department Chair
Robert W. Wassmer, Ph.D.

Date

Department of Public Policy & Administration

Abstract
of
ANALYZING THE ORGANIZATIONAL CULTURE OF YOLO COUNTY
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Commissioned by Yolo County's Administrative Officer, the purpose of this thesis is to advance Yolo County's efforts to be a learning organization that is able to continuously and organically adapt to today's rapidly evolving world. This thesis seeks to advance this effort by conducting an organizational culture assessment to provide Yolo County's leaders and decision makers with a better understanding of the assumptions and norms that permeate the organization and form its cultural identity. The assessment uses two different models – the Organizational Culture Assessment Instrument (OCAI) and the Good to Great Diagnostic Tool. The OCAI identifies the culture type of the organization, the robustness of the culture type, congruence of culture types across the organization, and any discrepancies between the current and preferred culture types. The Good to Great Diagnostic Tool assess and compares Yolo County's organizational culture characteristics against an idealized model of organizational culture.

From the assessment results, four themes emerged. First, there is a significant disconnect between the current culture of the organization and the culture preferred by its employees. Second, the rules and process driven culture of Yolo County is beginning to stifle employees. Third, there is a disincentive for healthy risk taking within Yolo County. Finally, there is a

disproportionate focus on short-term requirements at the expense of long-term goals for lasting organizational change. The findings provide insight to Yolo County’s leaders about the culture of the organization so that they can develop the organization from a more informed perspective and helps facilitate a sustained thinking within Yolo County of how deeply rooted cultural characteristics are shaping the behaviors of the organization to better accomplish its critical task of serving its residents as effectively and efficiently as possible.

_____, Committee Chair
Mary Kirlin, D.P.A.

Date

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CHAPTER 1: INTRODUCTION

“If you have been trying to make changes in how your organization works, you need to find out how the existing culture aids or hinders you.” -Edgar Schein (1992)

When the economy crashed in 2008 and sent financial shock waves across the world, public organizations entered a difficult new world of revenue shortfalls, budget cutbacks, and downsizing. This new environment brought about unrelenting, unpredictable, and often unsettling demands that have tested the fortitude of even the best organizations. In this uncertain new world, organizations that do not adapt to address these challenges head-on are seen as stagnate, wayward, and distressed. Organizations that are able to adjust and reorient themselves have been able to evolve and roll with the proverbial punches. Constant change has become the new status quo. This is the environment Yolo County currently finds itself.

Yolo County is a complex mix of elected officials, appointed department heads, and a bureaucracy of employees. Like many public organizations, Yolo County is part of an ever-changing environment that is driven by political and economic forces that demand increased results despite vague and contradictory priorities along with an uncompromising demand for public accountability. Consequently, Yolo County is under constant pressure to do more with less by increasing their efficiency, effectiveness, and service quality despite shrinking resources. In order to best navigate this tumultuous terrain, Yolo County has made the conscious decision to transform itself to meet the challenges of the new political and economic environment head-on. They have determined that they must develop into an organization that thinks strategically and organically generates momentum to sustain progress towards desired goals. However, before any meaningful organizational development can take hold, it is necessary to take a step back, assess

the status quo, and develop a broad, but sound, understanding of the whole organization to lay the foundation for a more in-depth and detailed analysis to inform a comprehensive change strategy. Because the strategic thinking of most organizations “is deeply colored by tacit assumptions about who they are and what their mission is,” the culture of the organization is the ideal starting point for such an assessment (Schein, 2009). These unspoken assumptions form the foundation of organizational culture – a phenomenon that is intrinsic in determining how an organization operates.

WHY ORGANIZATIONAL CULTURE?

A recent Deloitte report on culture in the work place found that 94% of executives and 88% of employees believe a distinctive workplace culture is important; however, the report also found that executives have an overstated sense of the status of the organizational culture when compared to employees (Deloitte, 2012a). This suggests that a disconnect exists between organizations discussing their culture at the highest levels and actually installing their beliefs into the organization’s day-to-day operations to facilitate a positive organizational culture at all levels. The inability to embed and grow an organizational culture conducive to an organization’s success is further supported by the fact that only 19% of executives and 15% of employees reported that they strongly believed that their culture is widely upheld throughout their organization (Deloitte, 2012a).

The Deloitte survey highlights another discrepancy between executives and employees as it relates to organizational culture. Even though most of the survey participants agreed that culture is important to organizational success, executives were more likely to value clearly defined business strategy over clearly defined and communicated core values and beliefs. On the other hand, employees tended to rate each of these as equally important. Punit Renjen, chairman of the

board at Deloitte, argues that organizational leaders should widen their focus to include both sides of the ledger. Changes in leadership and external factors can significantly affect an organization's business strategy, but Renjen further explains that "to be an exceptional organization in today's business climate, organizations must articulate, invest in, and nurture workplace culture now more than ever. If properly supported, it will transcend any environmental shifts, and serve as the foundation for organizational sustainability and growth (Deloitte, 2012b)."

Another example of why organizational culture is the ideal starting point for an assessment comes from Southwest Airlines, one of the world's most successful companies that has been profitable for 39 consecutive years and routinely rated as one of the most admired companies. Southwest's CEO, Gary Kelly (2012), explains that the secret to the company's success is "our people and our culture." Kelly highlights the importance of culture in the organization when he explains, "your business plan is what you are, but your culture is who you are." From day one, leadership in Southwest engrains a culture of family and customer service. Even after growing into a large and complex organization, Southwest continues to focus on strengthening their culture and remains known for its attention to employee wellbeing while maintaining exemplary customer service.

Ultimately, organizational culture is fundamental in tying all the moving parts of the organization into a common identity that is ritually developed and reinforced over time. The culture is the expression of the organization's core identity and roots. It helps provide a constant reminder of the deep character of an organization and the influence it has on every aspect of the organization. Organizational culture components can come in many variations, as it is often the most unique rituals, stories, ceremonies, and other bits of culture that stand the test of time. Together these unwritten rules and values dictate the way an organization operates. The ability for the organization to develop and maintain a shared culture that is intrinsic to the development

of organizational cohesion can be a conduit for organizational growth. Consequently, an assessment seeking to better understand the culture of an organization is a logical first step that will go a long way in making future strategic planning more informed, accurate, and eventually, more successful.

ASSESSMENT STRATEGY

With Yolo County serving as the client, I will administer and analyze an organizational culture assessment to provide Yolo County's leaders and decision makers with a snapshot of the current makeup of the organizational culture in the county. The aim of the assessment is to assess Yolo County's organizational culture by measuring the individual components that make up the organization. The resulting data will be analyzed to provide Yolo County with a better understanding of the "tacit assumptions" that permeate the organization and form its cultural identity. Ideally, the assessment will serve as the foundation to guide Yolo County's efforts to grow into a learning organization that is nimble and able to adapt continuously to the rapidly evolving world of today.

The assessment will be completed using two different evaluation models that are specifically designed by organizational performance experts to examine the cultural makeup within an organization. The first model, the Organizational Culture Assessment Instrument (OCAI) intends to identify the type of culture present in the organization, discrepancies between the current and preferred culture types, the strength of the culture, and the congruence of culture types across different individuals and groups within the organization. The OCAI will then construct an overall cultural profile for Yolo County. The second model, the Good to Great Diagnostic Tool intends to assess and compare Yolo County's organizational culture characteristics to an idealized model of organizational culture that Yolo County has expressed

interest in emulating. These assessment models and their theoretical basis will be further discussed in Chapters 2 and 3.

THESIS COMMISSIONING

The Administrative Officer of Yolo County, Patrick Blacklock, formally requested this thesis to help inform efforts to transform Yolo County into an organization that has an internalized ability to think strategically and naturally generate momentum to sustain process-based improvements. Specifically, I will seek to help move towards this goal by providing a thoughtful assessment of Yolo County's organizational culture. The information gathered will help Yolo County have a comprehensive understanding of the organizational behaviors and norms that exist within the organization from the perspectives of those within the organization. The assessment will assist in Yolo County's ongoing development towards being a dynamic and agile organization that is able to deliver on its mission of serving their constituents, especially the residents of Yolo County.

More broadly, this thesis is one piece of a budding collaborative partnership between Yolo County and the Department of Public Policy and Administration at California State University, Sacramento. Yolo County has long wanted to pursue organizational transformation and growth, but with limited resources and a multitude of demands for the organization's attention, it has been difficult to get the process on track. The desire to make the leap has outweighed the struggle of how best to begin to implement such a change process. To assist in sparking the progression, Yolo County has graciously opened their organization to the CSUS graduate students in hopes that they can provide thoughtful observations and ideas from an outsider's perspective. In turn, students receive invaluable practical experience working for a real client with real organizational and policy challenges.

Additionally, this thesis follows in the footsteps of a predecessor student researching and analyzing the organizational culture in Yolo County. Divan's (2012) thesis "Changing 'The Way We Do Things' Presenting an Organizational Culture Framework" laid out a conceptual blueprint for how Yolo County can become the nimble learning organization that it wants to be and the factors that need to be adjusted to reach this goal. In presenting the framework, Divan explains the importance of having the right culture in place before any meaningful organizational development can take hold. Divan further discusses how the culture of an organization can either facilitate or stifle change efforts that do not properly align with the culture. Even the most concerted change efforts can fail because they do not mesh with the organization's culture. In continuing with these ideas for moving towards a model similar to the one presented by Divan, this thesis project seeks to help Yolo County to the next step by providing a foundation for a more successful implementation of organizational development efforts.

YOLO COUNTY

When California officially became a state in 1850, Yolo County was part of the original set of counties carved out by the state. The region has deep roots as a hub for agriculture, trapping, and trading for Native American populations, and later western settlers. Currently Yolo County consists of just over 1,000 square miles of mostly rural land just northeast of the San Francisco bay area and north of the Sacramento River Delta. Of the county's 201,071 residents, 87% reside in four incorporated cities: Davis, West Sacramento, Woodland, and Winters. The remaining 13% live in unincorporated parts of the county, most of which is rural agricultural or preserved wildlife land. Yolo County's farmland serves as an integral part of California's overall agricultural production (Yolo County's Statistical and Demographic Profile, 2012). In keeping with its rich history of agriculture, Yolo County has made concerted efforts to remain a rural community and

has favored protection of rural lands over land development.

Despite being a large, rural, farming county, four of Yolo County's five largest employers are government entities, with the lone large private employer being the Cache Creek Casino and Resort. The largest employer in the county, by far, is the University of California at Davis with almost 13,000 employees. The county itself is the fifth largest employer, with 1,245 employees in 2012. Consequently, when the economy stalled in 2008 and government entities made drastic cuts, Yolo County experienced a disproportionately high unemployment rate of around 15%—about 3% above the California average and 6 % above the U.S. average (Yolo County's Statistical and Demographic Profile, 2012). Additionally, as an entity of the state, which is also one of the county's largest employers, Yolo County is tied closely to California's financial health. As a result, Yolo County has recently experienced large budget deficits and financial uncertainty.

In response to budget deficits, Yolo County made drastic cuts to its employment force from a high of roughly 9.5 county employees per 1,000 residents in 2002 to a low of 6.4 in 2012. In 2010, Yolo County was still struggling to recover from the economic collapse. In the three years since Yolo County's largest-ever budget in fiscal year 2007-08, there has been a 9% drop, roughly \$38 million, in revenues and expenditures. During this timeframe, 408 positions were eliminated – 24% of the work force (Trujillo, 2010). Some of the hardest layoffs came from public safety where Yolo went from 32 sheriffs to 18 (Massie, 2011). Making a series of tough budgeting decisions and shrewd financial management has helped Yolo County weather the recent recession. Currently, Yolo County maintains a budget of roughly \$334 million with the bulk of revenue coming from local fees and taxes and the state and federal government. About two-thirds of Yolo County's spending goes towards fulfilling state mandates by implementing health and human services program and maintaining public safety (Blacklock, 2012).

Yolo County is presently financially stable; though, the financial future of the county and

the state remains unclear, especially with recent state realignment efforts to push more state services down to counties. The funding, while promised, could quickly disappear should the state change course. Additionally, rising labor costs and changing demographics of clients receiving services may force Yolo County to reassess their budget allocations. How these variables play out will have a great effect on Yolo County's future financial situation.

ORGANIZATION OF THESIS

This chapter has discussed the uncertain setting that public organizations are currently trying to adapt to and the desire of Yolo County to transform itself to meet the challenges of the new political and economic environment head-on. To help Yolo County move towards these objectives, I present a first step that focuses on better understanding the organizational culture that exists in Yolo County. Next, I outlined an assessment strategy to accomplish this task. Finally, I provided some context for this research with the thesis commissioning and background of Yolo County. Chapter 2 will further investigate the concept of organizational culture, its importance to organizational performance, and the body of pertinent academic literature. In Chapter 3, I will discuss the survey and assessment methodology used to analyze Yolo County's organizational culture. I will present and summarize the results of the surveys in Chapter 4. Chapter 5 will discuss and analyze the results to highlight overarching themes that emerged, implications of the results, what the results mean to Yolo County, recommendations for moving forward, and future research opportunities.

CHAPTER 2: A REVIEW OF THE LITERATURE

To add context and a basic theoretical foundation of culture in organizations, I will briefly review the field of literature devoted to organizational culture and its role in organizational development. First, I will examine the evolution of organizational administration research to include organizational values, behaviors, attitudes and other intangible qualities that make up organizational culture. Next, I will summarize the research on organizational culture and its role in organizational effectiveness. Then, I will assess the development of methods of assessing and quantifying organizational culture. Finally, I will present the theoretical framework for the OCAI and the Good to Great models used to assess the organizational culture of Yolo County.

DEFINING CULTURE

Culture comes from the Latin root *cultura* to connote a process of cultivation or improvement (Online Etymology Dictionary, 2013). Over the years, the term grew into a social anthropology concept to refer to the vast array of human understanding that is beyond any genetic inheritance, such as the way people think, feel, and act. In this sense, Hofstede (2013) provides a useful definition for culture as the “collective programming of the mind distinguishing the members of one group or category of people from another.” The category can broadly refer to nations, regions, ethnicities, religions, occupations, organizations, or genders. Hofstede simplifies this definition of culture as the “unwritten rules of the social game.”

The human culture is the result of hundreds of thousands of years of evolution that has sharpened our social and intellectual skills. The cultural programming begins early in our human development and continues in phases of our life as we absorb information and follow the patterns of those that make up our social environment. From the small nuclear family, to a place of

employment, to a whole nation, all human groups will develop their own unique culture overtime, as it part of the basic human issues relating to group membership, authority, gender roles, morality, emotions, and values. In essence, culture influences all aspects of our personal and professional lives and enables groups to function smoothly (Hofstede, 2013).

Culture in the organization, considered a unique attribute that is specific to each organization and ingrained in its behaviors, is managed, shaped, and measured independently from other aspects of the organization. In a sense, culture is an attribute of the organization itself and is a predictor for future organizational behavior. This disciplinary foundation of culture is contrary to the broader view of culture with an overarching national or regional focus. The broader view of culture is considered a given fact for the cultural management of organizations that fall under a particular larger national or regional cultural umbrella. Cameron and Quinn (2011) note this distinction and explain that the study of organizational culture focuses on the former more manageable foundation of culture rather than the broader anthropologic foundation.

Despite the distinction, researchers studying organizational culture utilize methods similar to those of anthropologists studying the cultures of various societies. They contend that these methods provide a deeper understanding of the nuanced organizational life than methods used to study other aspects of organizations (Ott, 1989; Schein, 1992). These methods have produced a range of definitions of organizational culture focusing on studies of basic values, symbols, myths, behavior norms, and other cultural fingerprints found in organizations.

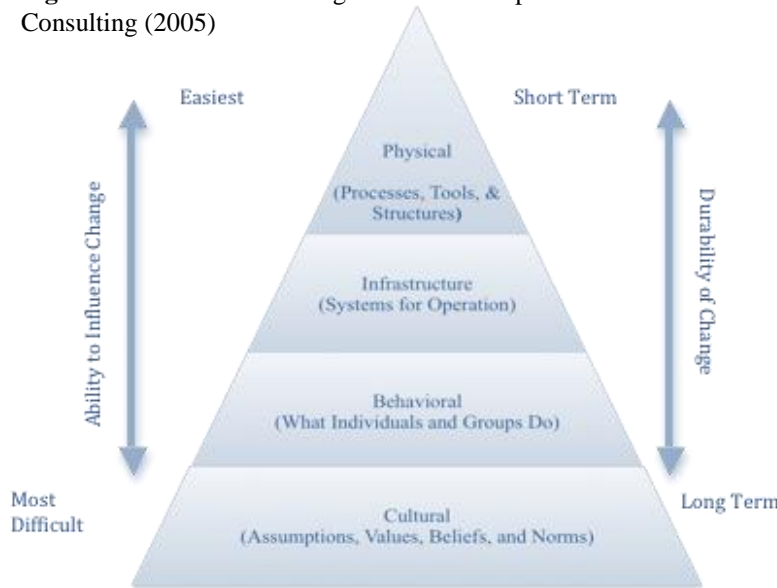
CULTURE IN THE ORGANIZATION

Since organizational culture is such an abstract concept, there is much debate about "what culture is, how to identity it, how it influences organizational behavior, and how to examine culture in order to better understand it" (Khademian, 2002). Early organizational research

centered on the assumption that organizations are rational actors and that the rules, processes, authority, and norms of the organization mute the personality of individuals. Accordingly, organization development focused on structural and management techniques within the organization. However, in reality, many of the actions taken by an organization are not the result of a rational thought process, but rather predetermined by patterns of past actions and the assumptions of those within the organization. Organizations tend to rely on tried and true methods that worked in the past because it is difficult to forget past successes and what was done to achieve them. Over time and with repetition, unconscious assumptions replace conscious thought, regardless if the current circumstances call for a different approach. Assumptions “become the underlying, unquestioned, but largely forgotten reasons for ‘the way we do things here’ – even when the ways may no longer be appropriate (Shafritz, Ott, and Jang, 2011).” In this way, an ingrained organizational culture can control an organization’s behaviors – even to its detriment by resisting or stalling organizational change to adapt to a new environment with new challenges.

In defining organizational culture, Trice and Beyer (1993) argue that organizational culture is the “pattern of shared meaning in an organization.” Schein (1992) defines organizational culture as “a pattern of shared basic assumptions and integration that has worked well enough to be considered valid and therefore to be taught to new members as the correct way to perceive, think, and feel in relation to those problems.” These definitions point to the powerful influence and importance of organizational culture and its position within the inner workings of an organization. Through this prism, organizational culture is both a product and a process. As a product, it embodies wisdom accumulated from experience. As a process, it is renewed and re-created as newcomers learn the old ways and eventually become teachers themselves (Bolman and Deal, 2008).

Figure 2.1: Culture in the Organization – Adapted from Russell Consulting (2005)

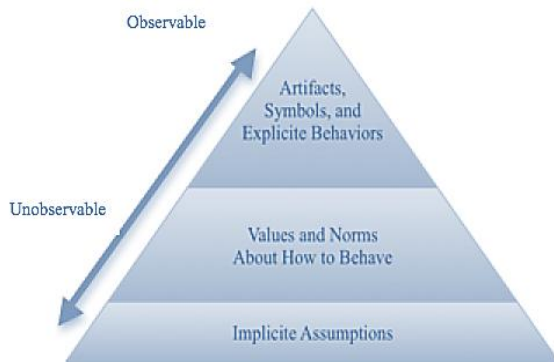


Understanding how culture fits into the organizational structure will provide valuable perspective for developing and implementing an organizational culture assessment. Figure 2.1 shows how culture fits into

the bigger context of the organization by illustrating the basic configuration of most organizations (Russell Consulting, 2005). In particular, it gives context to where culture fits in the organization as well as how rooted it is within the organization’s foundation. Compared to other aspects of organizational development, changing the culture is a difficult task that requires a long-term approach.

Schein (1992) explains that organizational culture exists on various levels. Figure 2.2 provides a visualization of Schein’s observable levels of culture in an organization as depicted by

Figure 2.2: Observable Levels of Culture – Adapted from Cameron and Quinn (2011)



Cameron and Quinn (2011). The first level is most basic and least observable – the invisible and unconscious assumptions in which the organization operates. The basic assumptions are the organization’s relationship with its environment and the nature of human activities and relationships.

The second level is overtly expressed values about how things should be and how one should

generally respond and act in the organization – articulated through organizational ideologies, attitudes, and philosophies. The final level is the most observable and includes cultural artifacts, symbols, behaviors, creations and processes. The languages used, stories told, ceremonies performed, rewards given, symbols displayed, heroes and history remembered are all examples of overtly displayed organizational culture.

Hofstede, Neuijen, Ohayv, and Sanders (1990) developed different dimensions of organizational culture by surveying a number of different organizations. Breaking organizational culture dimensions into smaller components allows for a detailed and comprehensive organizational culture assessment, which leads to a focused strategy for manipulating organizational culture or strategy as needed. Table 2.1 shows the different dimensions that shape an organization’s cultural makeup.

Table 2.1: Dimensions of Organizational (Hofstede, Neuijen, Ohayv, and Sanders, 1990)

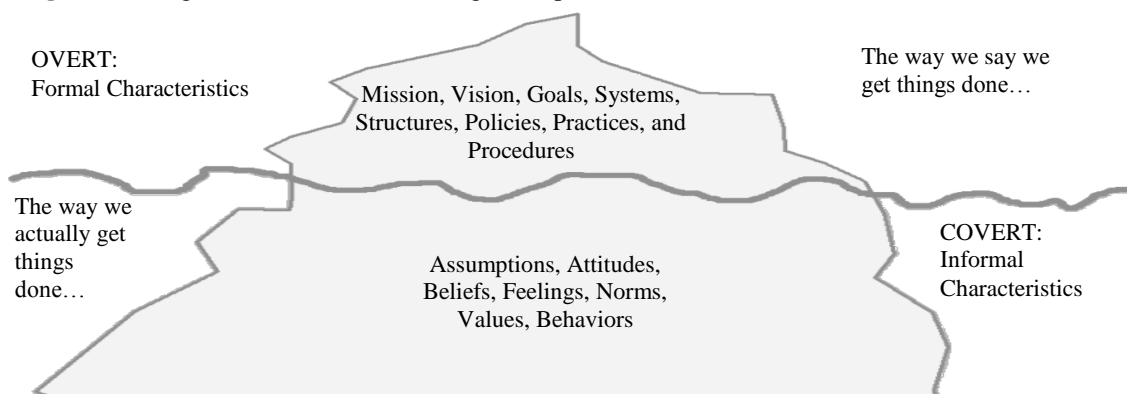
Organizational Culture Dimensions	
Member Identity	Degree individuals in the organization identify with the whole organization as opposed to a subgroup or specialization.
Group Emphasis	Extent work is organized around groups instead of individuals.
People Focus	Extent management considers the impact of their decisions on individuals within the organization.
Unit Integration	The level of support for coordinated, interdependent activity among units or groups.
Control	Degree rules and supervision are used to control employees.
Risk Tolerance	Encouragement of taking risks and pursuing innovations.
Reward Criteria	The extent that rewards are performance based rather than tenure or favoritism.
Conflict Tolerance	Degree that open conflict and disagreement is encouraged.
Means-ends Orientation	The extent managers focus on outcomes and results rather than process.
Open-systems Focus	Level of monitoring of developments outside the organization.

Khademian (2002) provides another set of dimensions for viewing organizational culture geared specifically toward a public organization. Using a cultural roots framework the model highlights the three basic elements of every public organization: the public task to be done, the

resources available to do it, and the environment in which the agency or program has to operate. The elements become integrated in ways that produce commitments or policies about how a specific job gets done within the organization. Through this dimension a public manager can influence organizational culture by concentrating on manipulating the way the three cultural roots are integrated.

Herman (1978) presents an iceberg as a visual metaphor to conceptualize organizational culture as shown in Figure 2.3. Only a portion of an iceberg is visible while the majority of it sits hidden below the water line. Even though it is hidden out of sight, the large mass below the water shapes and supports the part of the iceberg that is visible. Understanding the totality of the iceberg requires not only studying the visible pieces above the water line, but also diving down to study the parts hidden beneath. Similarly, important aspects of organizations are hidden from view. These covert forces shape and form the overt organizational activities and behaviors. Kilmann, Saxton, and Serpa (1985) illustrates this saying that “culture is to the organization what personality is to the individual – a hidden, yet unifying theme that provides meaning, direction and mobilization.” In essence, the two parts – seen and unseen – are not only inseparable, but also interdependent. As Figure 2.3 illustrates, the two parts can provide two different answers about how somebody gets things done in the organization.

Figure 2.3: Organizational Culture Iceberg – Adapted from Herman (1978)



Researchers are increasingly presenting their organizational development theories with the understanding that meaningful and lasting changes are dependent on tying changes to the organizational culture. This is because an organizational culture with values that conflict with change efforts can be a significant obstacle to the change effort. Organizations, namely the people in them, tend to do things the same way every time for no other reason than because “that’s the way we have always done it.” Even the most rational, well-planned change efforts can flounder in the face of resistance from deep-set values and assumptions of the organization’s culture. Consequently, proponents of organizational reform are looking to improve organizational effectiveness, flexibility, and responsiveness by looking to change organizational cultures. They argue that leaders and managers are able to institute the lasting changes necessary to improve organizational performance by studying the nuances of organizational culture theory and its representation in the existing culture of organizations.

In studying an organization’s culture, it is important to note that its behavior cannot be fully understood or calculated by only studying its structure, systems, processes, goals, mission, or other observable characteristics. These pieces will provide some clues to the organization’s culture, but will not provide an accurate or complete depiction. Therefore, to understand the current and future behavior of an organization, the culture itself must be studied using tools, techniques, and models specific to the unconscious assumptions of the organization that serve as predictors of organizational behavior.

ISSUES IN ASSESSING ORGANIZATIONAL CULTURE

As an outside researcher, there are many challenges to fully being able to understand an organization’s culture, let alone being able to assess it. There are many varying ways to define, categorize, and scope organizational culture. The definitional issues include the challenge of

separating the culture of the organization from the personal culture of the individuals in the organization as well as from the broad societal culture in which the organization exists. There are also the challenges of separating the organization-wide culture from the culture of various subgroups within the organization such as the different departments, employment classes, and tenure levels. Consequently, the assessment strategy can differ depending on how organizational culture is defined and the lens through which it is viewed. The defined scope will also inform the appropriate level of analysis needed to accurately assess the culture of the whole organization.

As Cameron and Quinn (2011) point out, there are three general approaches for assessing culture at the organizational level. First, there is the native approach, which requires being fully immersed in the organization to observe behaviors and become an active participant. Second, the forensic approach retroactively examines documents, reports, stories, conversations, and other artifacts to piece together a picture of the organizational culture. The final strategy is a quantitative approach through interviews, questionnaires, and surveys. This strategy is less time consuming and invasive than the first two approaches, which are often not feasible for a quick organizational culture assessment that does not disturb the organizations operations. The quantitative approach provides for a commonality to compare culture types across multiple organizations. The survey-based assessment brings with it its own challenges, namely the concern that it is limited to only superficially measuring the current organizational climate rather than the deep-set cultural characteristics that are at that heart of the organization's culture. Even so, most assessment strategies follow this approach by conducting interviews of individuals or groups in the organization or through the use of various survey or self-assessment methods (Wilkins, 1990; Schein, 1992; Hofstede, Neuijen, Ohayv, and Sanders, 1990; Kotter and Heskett, 1992). The two models used in this thesis follow this strategy by surveying members of the organization in order to build a depiction of the culture to inform future organizational development.

Since organizational culture is a complex concept that is deeply ingrained in everything the organization does, it is difficult to include every aspect in an organizational culture assessment. Consequently, assessment models tend to focus on key dimensions that best encapsulate all the intricate, underlying concepts and values that form the overall organizational culture and then gather input from members of the organization with respect to the framework. This archetype helps make sense of the complex organizational culture without a deep understanding that comes from having lived and worked within the organization for an extended period of time. The archetype dimensions used will affect the overall assessment; however, the dimensions that should be included and those that should be excluded are subject to interpretation and debate. For example, the two models used in this thesis utilize different dimensional archetypes for different lenses to view organizational culture in Yolo County. This is not to say that one is better than the other, but that the dimensions used in the framework do effect the end assessment.

THE COMPETING VALUES FRAMEWORK

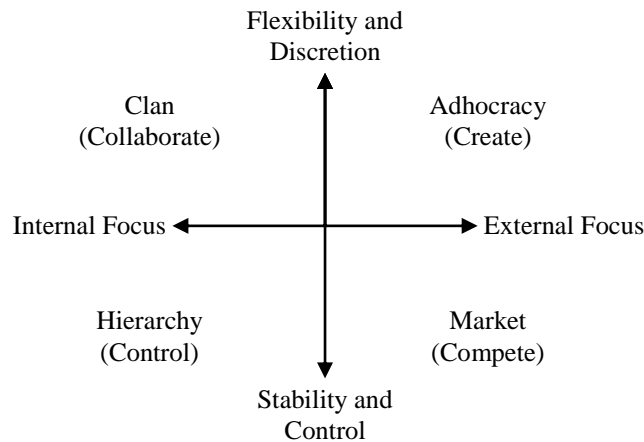
The Competing Values Framework, the theoretical foundation for the OCAI model, originated from research attempting to identify major indicators of effective organizations by asking the questions: What are the main criteria for determining if an organization is effective? What key factors define organizational effectiveness? When organizations are judged to be effective, what indicators are considered (Cameron and Quinn, 2011)? Campbell, Browns, Peterson, and Dunnette (1974) created a list of thirty-nine indicators that they believed represented a comprehensive set of all possible measures for organizational effectiveness. Quinn and Rohrbaugh (1983) further studied this list for patterns that could be used to organize the indicators into analogous groups. From the list of indicators, they found two major dimensions that filtered them into four main groups.

The first dimension differentiates criteria for organizational effectiveness between those that emphasize flexibility and discretion from those that emphasize stability and control. Meaning, some organizations are viewed as effective when they are constantly evolving and reinventing themselves and are prone to frequent change of their organizational structure. Other organizations are viewed as effective when they are stable and predictable and rarely change their organizational structure. Under this dimension, organizations fall along a spectrum with organizational agility and versatility on one end and organizational steadiness and reliability on the other.

The second dimension differentiates criteria for organizational effectiveness between those that emphasize internal focus, unification, and integration from those that emphasize external focus, competition, and differentiation. Meaning, some organizations are viewed as effective when they have a synchronized internal personality that is consistent throughout the organization. Other organizations are viewed as effective when they focus on relationships with those outside the organization where interactions beyond the organizational borders are more important than a central dogma. Under this dimension, organizations fall along a spectrum with cohesion and solidarity on one end and independence and autonomy on the other end.

The interaction between the two dimensions is graphically illustrated with the flexibility – stability relationship on the vertical Y-axis and the internal – external relationship on the horizontal X-axis (Quinn and Rohrbaugh, 1983). Together the polarities form four quadrants that represent four clusters of organizational effectiveness indicators. Each cluster group illustrates individual values about an organization's performance and effectiveness. They delineate what people think are good attributes for an effective organization and define the core values on which people can make judgments about an organization. Figure 2.4 shows how the two dimensions are related and the quadrants that they form.

Figure 2.4: The Competing Values Framework (Cameron and Quinn, 2011)



The quadrants are made by dimensions defined by opposite values that conflict and compete with each other. The internal focus and flexibility values of the upper left quadrant directly compete with values of the lower right

quadrant that are externally focused control values. On the other diagonal, the upper right quadrant is made up of externally focused and flexibility based values and directly competes with the lower left quadrant values that emphasize internal and control values. The competing values that make up each quadrant form the basis of the Competing Values Framework.

Cameron and Quinn (2011) labeled each quadrant to best encapsulate the most notable characteristics of the values that the cluster represents. The labels used – Clan, Adhocracy, Hierarchy, and Market – help illustrate how the organizational values of the clusters also closely align with the organizational form most often implemented by organizations that feature the values of a particular quadrant. Cameron and Quinn (2011) argue that the dimensions, and the quadrants they shape, are robust and rich enough to be considered a cultural type. In other words, each quadrant represents basic assumptions and core values in the same way that an organizational culture does. The Competing Values Framework serves as a foundation for assessing an organization's general cultural orientation based on the main culture types delineated by each quadrant.

THE FOUR CULTURE TYPES OF THE COMPETING VALUES FRAMEWORK

The four culture types of the competing values framework – Hierarchy, Market, Clan, and Adhocracy – are each rooted in a model of organizational theory research. Each theoretical foundation provides the organizational environment for the values and characteristics of each culture to take root and become prominently expressed. Table 2.2 illustrates the core concepts of each culture type as characterized by a set of six sub-dimensions that highlight a specific aspect of culture within the organization and serve as the assessment criteria for the OCAI, which is based off of the Competing Values Framework.

The six sub-dimensions – dominant characteristics, organizational leadership, management of employees, organization glue, strategic emphasis, and criteria for success – serve to describe the fundamental manifestations of culture within an organization. While not completely comprehensive, the six sub-dimensions do cover the major components of the culture. The dominant characteristics and organizational glue sub-dimensions address the basic assumptions within the organization. Next, the organizational leadership and management of employees sub-dimensions address interaction patterns within the organization. Finally, the strategic emphases and criteria of success sub dimensions address organizational direction. Each sub-dimension serves as a lens to view a slice of the culture within the organization. When compiled together, they create a comprehensive culture profile of the whole organization as intended by the OCAI assessment.

Table 2.2: The Four Culture Types of the Competing Values Framework
 – Adapted from Cameron and Quinn (2011)

		Flexibility / Discretion	
		Clan	Adhocracy
		<p><u>Dominant Characteristics:</u> A friendly place to work and coworkers feel like extended family.</p> <p><u>Organizational Leadership:</u> Leaders are considered to be mentors.</p> <p><u>Management of Employees:</u> Develop employee cohesion, participation, and teamwork.</p> <p><u>Organizational Glue:</u> Organization is held together by loyalty and commitment to the organization.</p> <p><u>Strategic Emphasis:</u> There is an emphasis on trust, openness, and human development.</p> <p><u>Criteria of Success:</u> Defined by sensitivity to the needs of people both inside and outside the organization.</p>	<p><u>Dominant Characteristics:</u> Dynamic and creative with people willing to take risks.</p> <p><u>Organizational Leadership:</u> Leaders are entrepreneurial innovators that are not afraid of risks.</p> <p><u>Management of Employees:</u> Individual initiative and freedom are encouraged.</p> <p><u>Organizational Glue:</u> Commitment to experimentation and innovation.</p> <p><u>Strategic Emphasis:</u> Constant growth and staying on the cutting edge.</p> <p><u>Criteria of Success:</u> Being a leader in developing new and unique services and products.</p>
Internal Focus			Market
	Hierarchy		
		<p><u>Dominant Characteristics:</u> Formalized and structured environment where procedures govern what the person does.</p> <p><u>Organizational Leadership:</u> Efficiency-minded leaders that focus on coordination.</p> <p><u>Management of Employees:</u> Focus on employment security and predictability of employee production.</p> <p><u>Organizational Glue:</u> Formal standards, rules, and policies hold the organization together.</p> <p><u>Strategic Emphasis:</u> Stress stability and efficient, smooth operation.</p> <p><u>Criteria of Success:</u> Efficient, consistent, and low-cost delivery of goods and services.</p>	<p><u>Dominant Characteristics:</u> Results-oriented organization with competitive, goal oriented people.</p> <p><u>Organizational Leadership:</u> Leaders are demanding and competitive.</p> <p><u>Management of Employees:</u> High demands of employees and hard-driving competitiveness.</p> <p><u>Organizational Glue:</u> Emphasis on achieving goals holds the organization together.</p> <p><u>Strategic Emphasis:</u> Competition and achieving long-term measureable goals.</p> <p><u>Criteria of Success:</u> Dominating competition and leading in the marketplace.</p>
		Stability / Control	
		External Focus	

The Hierarchy culture, characterized by stability and an internal focus, is made up of a formal structured chain of command and control that emphasizes constancy, predictability, and efficiency. The Hierarchy culture type is one of the earliest and most widely adopted organizational culture types, particularly in government entities. In this culture type, there are clear decision makers, rules, and procedures that control and govern all aspects of the organization. The classical organizational theory that developed with the industrial age of the early 1900s provides the theoretical foundation for this cultural type.

The fundamentals of this theory are that organizations will act rationally in order to maximize production through a systematic organization with labor division and specialization (Shafritz, Ott, and Jang, 2011). Research by Weber (1922), Taylor (1916), and Gulick (1937) form the basis of this theory. Weber refined the distinctive traits of an effective bureaucracy: rules, specialization, meritocracy, hierarchy, separate ownership, impersonality, and accountability. Taylor developed a scientific management research method to hone in the one best way to perform a particular organizational process. Gulick provided a principle based management method by introducing key principles for management. In sum, the Hierarchy culture focuses on managers maintaining unity and control to meet internal goals of production and effectiveness.

The Market culture, characterized by stability and an external focus, produces a competitive organization that emphasizes results and achieving goals. The organization functions similar to a market focused on outward transactions with external communities that interact with the organization, such as “suppliers, customers, licensees, unions, and regulators (Cameron and Quinn, 2011).” Stability and control arises through the competitive and economic drive to reach targets and grow the number of customers served, rather than through rules and specialized functions like a hierarchy. The Market culture type assumes that the external environment is

hostile and requires the organization to fight and compete in order to improve its position and grow. Consequently the organization is driven by a constant push towards increasing productivity and making sure results are met.

The organizational economics theory, which uses economics to study the internal structure and systems of an organization, provides the foundation for the Market culture. Introduced by Coase (1937) the organizational economics theory explains that the driving force for the formation of an organization is to internalize and reduce the costs of participating in the market for a given product or service. Specifically, Coase argues that organizations form in order to navigate an uncertain environment and to reduce the costs of transactions associated with delivering products and services to customers. Barney and Ouchi (1986), Williamson (1981), Jensen & Meckling (1976), further the use of economic principles to improve organizational efficiency and effectiveness while still supporting management decisions and control.

The Clan culture, characterized by a flexible and internal focus, is a collaborative culture with a strong commitment to the people of the organization and their development, much like an extended family. Employees often work in semiautonomous teams and are rewarded based on production and goals achieved as a team, not as individuals. Employees are encouraged to actively participate in the development of the organization by providing their thoughts and input on how to improve production. Managers focus on empowering employees and help them development their skills. Facilitating this employee cultivation is designed to build commitment and loyalty from employees in order to have a more effective overall organization.

The roots for this culture derive from the human resources movement that emphasizes the human dynamics of organizations such as how people fit into and function within their organization. The fundamental assumptions of the human resource theory are that: organizations exist to serve human needs, organizations and people need each other, and organization-people fit

is important Shafritz, Ott, and Jang (2011). Organizations need the energy, ideas, and skills people provide. People need the career, earnings, and sense of purpose that organizations provide. A poor fit between an organization and the individual leads to suffering for both, but a good fit will benefit both. Mayo's (1927) Hawthorne experiments introduced the human relations concept and bridged organizational thinking from classical organization theory to new ideas of interpersonal relationships, group norms, and differences in employee motivation based on each employee's needs. Follett (1926) emphasizes a relationship between leadership and employees in which both groups interact as relative equals when responding to a particular situation. Maslow (1943) provides a hierarchical framework for making sense of the complex needs and motivations of humans. McGregor (1957) presents Theory X and Theory Y as contrasting managerial assumptions of employee motivation, where Theory X assumes employees inherently dislike work and they must be directed or coerced into performing their work duties and Theory Y assumes employees are self-motivated to work if they are committed to the organization and its objectives. Ott, Parkes, and Simpson (2008) organize the concepts of the human resource theory into its most core themes of leadership, motivation, groups, work environments, power and influence, and organizational change.

Finally, the Adhocracy culture, characterized by a flexible and internal focus, makes up a creative culture that promotes entrepreneurship, innovation, and unique ways to meet challenges and stay on the leading edge. This culture type epitomizes the rapidly changing world that requires an increasing amount of creativity. In this type of organization, emphasis is placed on having an eye towards the future and being ready for whatever it may bring, which requires a lot of time preparing to change to meet the needs of the future. To do this, the organization structures itself so that it can quickly change courses as necessary. With rapid change, standard procedures

and rules become less important and creativity and innovation become more important. Members of the organization must be dynamic and able to produce solutions to new challenges quickly.

This culture arises from open-systems theories where the focus is on an organization's interaction and interdependence with its external environment. Katz and Kahn (1966) frame this theory by looking at organizations as a part of a larger system where organizations continuously adapt as the environment changes. Thompson (1967) explains that while most organizations are in reality open-systems, they operate and plan as closed-systems as a way to shy away from the uncertainty of the open-system reality. In essence, the open-systems theory centers on organizations recognizing the influence of its external environment and how the actions by the organization in turn affect its environment.

RATIONALE, RELIABILITY, AND VALIDITY OF COMPETING VALUES FRAMEWORK

The Competing Values Framework, and subsequent OCAI, was selected as one of the assessment models for its ability to identify: the type of culture present in the organization, discrepancies between the current and preferred culture types, the strength of the culture, and congruence of culture types across different groups and individuals within the organization. Logistically, the assessment was ideal since it could be completed through a minimally invasive survey. Additionally, the model is able to present a unique graphical representation of the cultural profile of Yolo County to turn a quantitative analysis into a visual profile. Overall, the breadth of information provided by the OCAI culture profile of Yolo County, without being overly invasive, made it worthwhile to utilize as one of the initial assessment tools.

To sufficiently rely on the results produced by the Competing Values Framework and the subsequent OCAI model, there must be confidence that the model is both reliable and valid.

Reliability refers to the extent the model consistently measures culture types within the

organization. Validity of the model is the degree that it actually measures what it purports to measure. As researchers use the OCAI to assess various organizations, the body of evidence shows that the model is both reasonably reliable and valid.

Quinn and Spreitzer (1991) tested the reliability of the OCAI by having nearly 800 executives in 86 different public utility firms use the model to assess the organizational culture of their own organizations. They found that the results were statistically significant indicating that respondents tended to rate their organization's culture consistently across the questions used in the OCAI. Yeung, Brockbank, and Ulrich (1991) found similar reliability statistics when they used the model to study the organizational culture of over a thousand businesses by surveying over ten thousand executives. Zammuto and Krakower (1991) also found high reliability statistics when using the model to study higher education institutions. The studies provide evidence that the OCAI can be relied upon to be consistent in measuring each culture type in the organization.

Cameron and Freeman (1991) studied the validity of the OCAI by analyzing the culture of over three hundred higher education organizations by surveying nearly thirty-five hundred individuals in key levels of authority within each school. They recorded the type of decision-making, organizational structure, strategy employed, and other things that the organization reported to do well. Each "domain of effectiveness" was then matched up with the reported dominant culture indicated by the OCAI. They found that the OCAI was valid when the domains of effectiveness matched up with the corresponding dominant culture type as dictated by the OCAI. For example, institutions that reported a Clan culture also were most successful with domains of effectiveness relating to morale, communication, supportiveness, and other Clan culture characteristics. The same was true for the other culture types. In other words, the results of specifically analyzing the traits that made the organization effective consistently matched up with the illustrated culture types of the OCAI. Quinn and Spreitzer (1991) as well as Zammuto

and Krakower (1991) also found additional evidence of validity through statistical analysis specifically testing validity.

THE GOOD TO GREAT FRAMEWORK

In *Good to Great*, Collins (2001) researched and compared hundreds of organizations to attempt to figure out what the difference between “good” organizations, which are moderately successful at accomplishing what they set out to do, and “great” organizations, which deliver superior performance and make a distinctive impact that lasts for many years. He developed a framework of principles and characteristics that separated the organizations that made the leap from good to great and those that did not. Collins first stresses that the leap does not occur as a result of a specific “miracle moment,” but rather consistent dedication to core principles centered on continuously building momentum and grinding towards long-term success. The change comes almost subconsciously once momentum within the organization begins to produce real results and those in the organization become motivated enough to further commit themselves to the goals of the organization. Collins distills the principles that he found into a framework for greatness. The framework is made up of four stages, with the first three stages focusing on discipline of people, thought, and action. The fourth stage focuses on changes for long-term success. Table 2.3 highlights the four stages of the framework.

Table 2.3: Four Stages of the Good to Great Framework (Collins, 2006)

Good to Great Model		
Stage 1: Disciplined People	Leadership:	Ambitious and fiercely dedicated to the organization.
	Staff:	Right people are in the organization and in the right positions.
Stage 2: Disciplined Thought	Facts:	Face the reality of the situation no matter how ugly.
	Scope:	Faith that the organization will continue forward towards its mission.
Stage 3: Disciplined Action	Culture:	People are engaged and free to function in the framework of their responsibilities.
	Process:	Consistent process and sustained effort to build and maintain momentum.
Stage 4: Building Greatness to Last	Preserve / Stimulate:	Mechanisms are in place to preserve organizational progress and stimulate future progress.
	Clock-Building, Not Time Telling:	Push towards achieving large complex long-term goals is built, not only into the people, but also into the organization.

The first stage, Disciplined People, includes two components: leadership and staff. The leadership component relates to what Collins calls a “Level 5” leader. This type of leader is fully committed to the mission of the organization and will do whatever it takes to ambitiously pursue the mission for the good of the organization, not for any personal gain. The leader makes sure that the right decision for the lasting good of the organization is made no matter how difficult or painful it may be. The staff component conveys Collins’ principle of “First Who, Then What,” which focuses on leaders in organizations making sure that the right people are in the right positions in the organization and the wrong people are forced from the organization. Determining who is in the organization is based on three concepts. First, people in the organization because they are committed to the mission of the organization are more receptive to changes in the organization than those in the organization for other reasons and may be resistant to any change of course, no matter how necessary. Second, the right people are already self-motivated for the mission of the organization and do not require outside motivation. Finally, the wrong people in the organization will slow or prevent the organization from making the leap from good to great by resisting change.

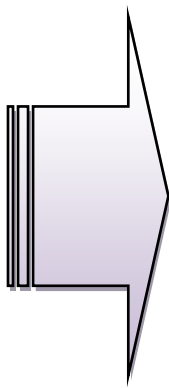
The second stage, Disciplined Thought, also includes two components: confronting reality and focusing on a simple coherent mission. Confronting the reality of the organization's situation by not shying away from the facts, no matter how brutal, is an important step in shifting from good to great. Facing the facts can help spur a realization that the organization is not where it should be and that a renovation is needed. The second component focuses on a simple coherent mission, which Collins characterizes as the Hedgehog Concept. Pulling from a Greek parable that differentiates between a fox, which does many small things, and a hedgehog, which does one large thing, Collins explains that organizations should focus on one big, meaningful mission rather than be distracted by many small concepts secondary to the main mission of the organization. Identifying and sticking to a simple clear mission is fundamental to a great organization.

The third stage, Disciplined Action, includes a culture of discipline and building momentum for change. The culture of discipline relates to the organizational obedience to stick to activities that fit with the mission of the organization and a willingness to stop anything that does not fit. It can be difficult to determine what actions are superfluous and then eliminate them to stay focused on only making progress towards the mission of the organization. The second component, building momentum for change, forms the core concept of the Good to Great framework. This principle is characterized as the flywheel concept, in which change begins to happen after disciplined and strenuous upfront effort. Over time, the hard effort to make the right changes, both small and large, begin to pile up and build momentum on each other. Once the momentum builds up, like a spinning flywheel, the adjustments to keep the organization on track no longer take the same amount of forced effort. At this point, the organization can self-correct and move seemingly autonomously towards its mission and begin to make the leap from good to great.

The last stage, Building Greatness to Last, relates to cementing organizational development well into the future. Collins characterizes this principle with the analogy of building a clock rather than just telling the time. The idea is based on the concept that if you build a clock you will be able to automatically produce results (the time) well into the future no matter who is part of the organization. Contrarily, if you only tell the current time, your results are fleeting and only as good as the time tellers at that given moment. Collins uses the metaphor to argue that organizations should strive to root growth and development into the core structure and culture of the organization so that the positive results will last beyond any leader, no matter how talented they may be. At the same time, organizations have to balance preserving the core mission and values of the organization with maintaining progress within the organization. Stimulating progress is necessary to keep momentum, but not at the cost of jeopardizing the core mission of the organization. Table 2.4 illustrates how the principles of the stages serve as the inputs necessary for the development of a great organization with distinct and superior performance that will endure.

Table 2.4: Inputs and Outputs of Greatness under the Good to Great Framework (Collins, 2006)

Inputs of Greatness	Outputs of Greatness
Stage 1: Disciplined People <ul style="list-style-type: none"> • Level 5 Leadership • First Who, Then What 	Deliver Superior Performance <ul style="list-style-type: none"> • Defined by efficient results on delivering on the mission of the organization
Stage 2: Disciplined Thought <ul style="list-style-type: none"> • Confront the Brutal Facts • The Hedgehog Concept 	Make a Distinctive Impact <ul style="list-style-type: none"> • Uniquely exceptional contributions that could not easily be replaced.
Stage 3: Disciplined Action <ul style="list-style-type: none"> • Culture of Discipline • The Flywheel 	Achieve Lasting Endurance <ul style="list-style-type: none"> • Organization can deliver ongoing exceptional results beyond the tenure of any leader, idea, or phase.
Stage 4: Building Greatness to Last <ul style="list-style-type: none"> • Clock Building, not Time Telling • Preserve the Core / Stimulate Progress 	



APPLICATION OF THE GOOD TO GREAT FRAMEWORK TO PUBLIC ORGANIZATIONS

The initial focus of the Good to Great framework was private business organizations, but many of the core concepts also apply to public organizations. Collins argues that these principles apply to all organizational types as principles of greatness rather than principles of business. Collins illustrates how the framework can be applied to non-profit and public organizations in his addendum, *Good to Great and the Social Sectors* (2005). In applying the framework to public organizations, Collins first discusses specific issues associated with motivation in public sector organizations such as measuring success without business metrics, leadership with a diffused power structure, getting the right people despite public sector constraints, absence of a profit motive, and the fact that positive results rarely yield more resources. Research supports these assertions and suggests that a number of factors create a unique context for motivation in public sector organizations, which could affect the application of the model (Perry and Porter, 1982).

The first issue is how to define “great” in a public sector organization where traditional business metrics do not apply. Most public organizations do not have easily identifiable definitions of success since their missions serve a purpose beyond a monetary bottom line (Rainey, 2009). Instead, they must develop creative ways to measure their progress towards pursuing their mission with respect to the resources available.

The second issue points out that leadership in a public organization rarely has full power over an organization. There are others, inside and outside the organization, which also have power over aspects of the organization. The diffused power base can complicate the development and execution of organizational changes. A public sector leader must rely more on skills of persuasion and politics to capitalize on shared interests (Rainey 2009). Collins notes that this type of committed leadership is especially important in public organizations.

The third issue applies to the challenge of getting the right people in the organization.

Public sector organizations face many constraints that can handicap their ability to get the right personnel in the organization. For example, tight budgets can limit employee compensation and make it difficult to hire and retain qualified candidates (Rainey, Facer, and Bozeman, 1995). Additionally, employment contracts often protect the employment of public employees, making it difficult to remove someone not in tune with the organization's direction and mission. Working within these constraints, public organizations can be selective about who comes into the organization by stressing the advantages it has over their private counterparts. The most important advantage is the purity of mission – working to achieve a public good. For many people the desire and commitment to a mission centered on serving the public is what drives them to public sector employment (Crewson, 1995 and Perry and Wise, 1990). Those that are not committed to this mission often realize that they do not fit and self-select out of the organization. If not, they must ultimately be removed in order for the organization to move forward.

The fourth and fifth issues relate to the ability for an organization to cultivate the resources necessary for the organization to continue to operate and pursue its mission. In a private organization, an economic engine supplies the financial resources to continue. In a public organization, it is a more complicated combination of resources that are usually controlled by an external entity. To add more complexity, the public organization's operations may not have any bearing on what level of resources policymakers allocate to the organization. In fact, positive results and progress may actually yield less resource support (Rainey, 2009).

RATIONAL, RELIABILITY, AND VALIDITY OF THE GOOD TO GREAT MODEL

Yolo County leadership identified the Good to Great framework as an ideal model to emulate for sparking an organization into an increasingly effective, efficient, learning organization. Therefore, the assessment utilizes this framework as an assessment model to give

Yolo County an understanding of where it stands in respect to the theoretical paradigm. In a sense, the Good to Great framework serves as a benchmark for Yolo County to inform its organizational development efforts. Similar to the OCAI, the Good to Great framework is minimally invasive and able to be administered from outside the organization.

There is reasonable confidence that the Good to Great model is both reliable and valid. When Collins first developed the model to explore how some organizations become great while others are unable to break past mediocrity, he began with 1,435 companies and isolated 11 that emerged to make a leap from years of being average to being a top tier company. To isolate the factors that made the 11 companies different, they were paired with a comparable company with similar attributes that could have made the leap, but for whatever reason did not. Collins and his team then proceeded to examine years of forensic and current data, reports, case studies, activities, financial analysis, interviews, leadership profiles, and many other components of the 22 companies. The results form the basis of the model and the stages for moving towards greatness. In the social sector addendum of the Good to Great model applied to social sector organizations, Collins argues that having worked with several public sector organizations the Good to Great principles apply to the public sector just as well as they do for private sector organizations.

It is important to note that while the development of the model is appropriately rooted in organizational theory, the context in which the model was developed should be kept in mind. The model was developed in the process of studying a handful of large corporations, not necessarily a small public organization like Yolo County. Therefore, there has to be careful consideration of blindly applying the model to all organizations. Nevertheless, the ideas and principles of the Good to Great model still serve as a valuable and valid benchmark for an organization to assess itself against.

IN SUMMARY

This chapter provided applicable definitions for the broader issue of culture and then discussed the more focused issue of culture in the context of the organization, including frameworks and lenses to view and assess organizational culture. This chapter also covered the theoretical foundations, including reliability and validity, for the OCAI and Good to Great assessment models used to analyze Yolo County's organizational culture. Next, Chapter 3 will discuss the methodology and implementation of the models.

CHAPTER 3: ASSESSMENT METHODOLOGY

This chapter details the methodology and procedures used to assess Yolo County's organizational culture, including the models, selection of participants, execution, and data collection. I developed a two-step process to assess and map Yolo County's organization culture using the Organizational Culture Assessment Instrument (OCAI) and the Good to Great Diagnostic Tool. Both assessment models use data collected through surveys administered by Yolo County to their employees and conducted electronically through SurveyMonkey, a customizable online survey tool. The first assessment model, the OCAI, provides a broad-spectrum analysis of the whole organization, whereas the second assessment model, the Good to Great Diagnostic Tool, provides a more in-depth, focused assessment of managers and leadership within the organization. Both surveys aim to assess Yolo County's organizational culture by measuring the perspectives of the individuals within the organization. Finally, I will analyze the resulting data to provide Yolo County's leaders and decision makers with a better understanding of the assumptions and norms that permeate the organization and form its cultural identity.

THE ORGANIZATIONAL CULTURE ASSESSMENT INSTRUMENT

The OCAI, developed by Cameron and Quinn (2011), is based on the Competing Values Framework, a theoretical foundation for assessing organizational culture. The academic foundation for Competing Values Framework and the resulting OCAI model was discussed in detail in Chapter 2. The framework identifies culture types within an organization by examining the interaction between polar organizational values – flexibility versus stability and internal versus external focus. The interaction between the two dimensions forms four quadrants that represent organizational culture types: Clan, Adhocracy, Hierarchy, and Market. As a culture

assessment model, the OCAI is designed to help organize and make sense of the dynamic interaction between the competing values within the organization and the culture types that arise. To determine the culture type the OCAI assess six dimensions of organizational culture: dominant characteristics, organizational leadership, management of employees, organization glue, strategic emphasis, and criteria for success. Table 2.2 from Chapter 2 summarizes the four culture types and the dimension characteristics of each.

The OCAI demonstrates the extent the four cultural archetypes are present in the organization by asking questions to measure these aspects that help shape organizational culture. Since there is no right or wrong answer, just as there is no right or wrong culture, each respondent can observe and report a different mix of culture types. Seeking the input of multiple people from various positions in the organization presents an overall picture of the organization. The OCAI examines both the current organizational situation and the preferred balance of values and cultural characteristics as indicated by those participating in the assessment survey. The two scopes allow for analysis of the organization's current orientation against perspectives for the preferred orientation of the organization. The OCAI does not make any judgments about any possible disconnect between the current and preferred mix of cultural characteristics other than simply highlighting the discrepancies. However, comparing the now against the preferred informs possible future modifications to the organizational structure and culture to minimize the differences. Even in the absence of future changes, there is immense value in simply knowing and understanding employee feelings about the current status of their organization and their preferences for how they would like to see the organization in the future.

In order to complete the OCAI, participants divide 100 points among four alternative statements depending on how they feel each alternative matches with the Yolo County organization. Statements that are the most similar to the organization would receive higher total

points and statements that are least similar receive fewer points. For example, if the respondent thinks alternative A is very similar to the organization, alternative B and C are somewhat similar, and alternative D is hardly similar, they might give 55 points to A, 20 points to B and C, and five points to D. The respondent has many options for the allocation of points as long as the total points for each question adds up to equal 100 points. Overall there are twelve questions or sets of alternatives. Each question relates to one of the six dimensions that make up the model. The first six questions refer to the participants' opinion of the current situation in the organization. Questions 7-12 are the same statements and alternatives repeated from Questions 1-6, but importantly shift the perspective from the "now" to the "preferred." This second set asks the respondent to think of the organization as how they would prefer the organization to look five years from now. The six dimensions and the alternative options for each are provided below in Table 3.1.

Table 3.1: OCAI Survey Questions (Cameron and Quinn, 2011)

Dominant Characteristics: Yolo County is a very...	1. Now	7. Pref.
A. Personal place. It is like an extended family. People seem to share a lot of personal information and features.		
B. Dynamic entrepreneurial place. People are willing to stick their necks out and take risks.		
C. Results oriented place. A major concern is with getting the job done. People are very competitive and achievement oriented.		
D. Controlled and structured place. Formal procedures generally govern what people do.		
Organizational Leadership: The leadership in Yolo County is generally considered to exemplify...	2. Now	8. Pref.
A. Mentoring, facilitating, or nurturing.		
B. Entrepreneurship, innovating, or risk taking.		
C. A no-nonsense, aggressive, results-oriented focus.		
D. Coordinating, organizing, or smooth-running efficiency.		
Management of Employees: The management style in Yolo County is characterized by...	3. Now	9. Pref.
A. Teamwork, consensus, and participation.		
B. Individual risk-taking, innovation, freedom, and uniqueness.		
C. Hard-driving competitiveness, high demands, and achievement.		
D. Security of employment, conformity, predictability, and stability in relationships.		
Organizational Glue: The glue that holds Yolo County together is...	4. Now	10. Pref.
A. Loyalty and mutual trust. Commitment to this organization runs high.		
B. Commitment to innovation and development. There is an emphasis on being on the cutting edge.		
C. The emphasis on achievement and goal accomplishment. Aggressiveness and winning are common themes.		
D. Formal rules and policies. Maintaining a smooth-running organization is important.		
Strategic Emphasis: Yolo County emphasizes...	5. Now	11. Pref.
A. Human development. High trust, openness, and participation persist.		
B. Acquiring new resources and creating new challenges. Trying new things and prospecting for opportunities are valued.		
C. Competitive actions and achievement. Hitting stretch targets and winning in the marketplace are dominant.		
D. Permanence and stability. Efficiency, control and smooth operations are important.		
Criteria of Success: Yolo County defines success on the basis of...	6. Now	12. Pref.
A. The development of human resources, teamwork, employee commitment, and concern for people.		
B. Having the most unique or newest products. It is a product leader and innovator.		
C. Winning in the marketplace and outpacing the competition. Competitive market leadership is key.		
D. Efficiency. Dependable delivery, smooth scheduling and low-cost production are critical.		

SCORING THE OCAI

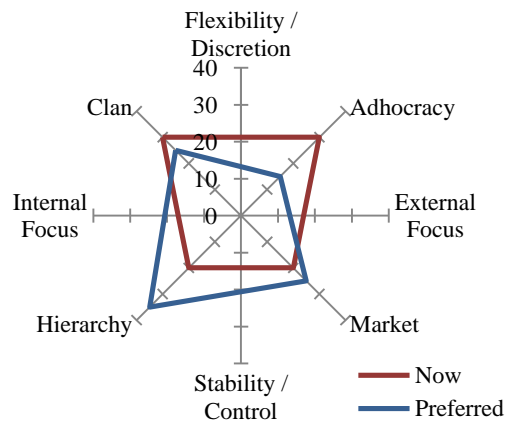
First, the individual score for each alternative is averaged in order to get an organization-wide score for each alternative. Next, all the A responses for the “now” questions (1-6) are averaged by adding them all up and dividing by 6. The same is done for the B, C, and D responses. The same process is repeated for the “preferred” questions (7-12). The result is the average “now” totals for A, B, C, and D as well as the average “preferred” totals for A, B, C, and D. Table 3.2 illustrate how a score sheet would look for the A responses.

Table 3.2: OCAI Scoring (Cameron and Quinn, 2011)

Now Scores		Preferred Scores	
1 A (Average of all respondents)	28.89	7 A (Average of all respondents)	33.63
2 A (Average of all respondents)	21.92	8 A (Average of all respondents)	36.20
3 A (Average of all respondents)	25.90	9 A (Average of all respondents)	40.30
4 A (Average of all respondents)	22.98	10 A (Average of all respondents)	40.03
5 A (Average of all respondents)	20.34	11 A (Average of all respondents)	39.37
6 A (Average of all respondents)	26.94	12 A (Average of all respondents)	45.00
Sum A responses	146.97	Sum A responses	234.53
Average A responses (Sum divided by 6)	24.50	Average A responses (Sum divided by 6)	39.09

Then the average for all the alternatives are plotted on a radar-style graph, which provides a visual depiction of the organization’s culture profile. The mapping helps depict the value alignment of the organization as well as compare the current and preferred cultural archetypes. The number of points for a particular cultural type determines how strong it is represented in the organization. The higher the point total means the culture type is more dominant. The visual assessment

Figure 3.1: Sample OCAI Score Mapping (Cameron and Quinn, 2011)



helps provide a quick analysis that can show the current mix of organizational culture types and the mix members of the organization would prefer it to be. The red lines represent the current or the “now” culture mix and the blue lines represent the preferred mix of cultures. Figure 3.1 shows an example of how a mapped OCAI score looks.

THE GOOD TO GREAT DIAGNOSTIC TOOL

The Good to Great model, identified by Yolo County leadership as a favorable organizational model to pursue, is included as an assessment metric to see where Yolo County currently stands through the lens of the Good to Great model. Key leaders within Yolo County were asked to complete a second organizational culture assessment survey, a variation of the Good to Great Diagnostic Tool based on the Good to Great model. This model allows an organization to grade the presence of the principles identified by Collins as important components necessary for a great organization. The theoretical framework and the four stages of the model is discussed in Chapter 2 and summarized in Table 2.3. Stage 1, Disciplined People, relates to leadership that is ambitious and fiercely dedicated to bettering the organization as well as making sure that the right people are in the organization and in the right positions. Stage 2, Disciplined Thought, relates to an organization that is disciplined to face the reality of the situation, even if it is ugly, and maintain faith that the organization will continue to move towards a simple coherent mission. Stage 3 is Disciplined Action where people are engaged and are able to freely function in a framework of responsibilities. The discipline further applies to consistent and sustained effort that build momentum on each other. Stage 4, Building Greatness to Last, relates to mechanisms of organizational progress being built in, core values are maintained, and the push for large, complex long-term goals remains.

The Good to Great Diagnostic Tool involves approximately a hundred questions. Each question consists of a statement that the participant grades using a provided grading rubric with a range of A through F to evaluate how they feel their organization matches up with each statement. For the purposes of this assessment of Yolo County, I modified the Good to Great Diagnostic Tool down from a hundred questions to fifty-six questions by consolidating similar questions and eliminating repetitive questions in an effort to make the assessment easier for respondents to complete since participants would be less likely to complete a lengthy survey. Additionally, I altered some of the questions in order to fit an assessment of Yolo County, particularly translating some of the unique terms used in the original Good to Great Diagnostic Tool that may be confusing to someone unfamiliar with the Good to Great model. Care was taken when modifying the assessment questions so as not to harm the integrity of the assessment as a whole. I recorded the grades for each response and used them to assess an overall grade for the organization. Table 3.4 includes the questions asked and Table 3.3 provides the rubric for grading the statements.

Table 3.3: Good to Great Diagnostic Tool Grade Rubric (Collins, 2006)

Grade Rubric
A - We exemplify this trait exceptionally well.
B - We often exemplify this trait, but we also have room for improvement.
C - We show some evidence of this trait, but our record is spotty.
D - There is little evidence that we exemplify this trait, and we have obvious contradictions.
F - We operate almost entirely contrary to this trait.

Table 3.4: Good to Great Diagnostic Tool Assessment Questions (Collins, 2006)

Good to Great Assessment Statements
1. The leaders who sit in the most powerful seats in our organization are ambitious first and foremost for the cause, the organization, the work—not themselves—and they have an iron will to do whatever it takes to make good on that ambition.
2. While some members of the leadership team might be charismatic, this is not the primary source of their effectiveness. They inspire others primarily via inspired standards—excellence, hard work, sacrifice, and integrity—not with an inspiring public persona.
3. Our culture values substance over style, integrity over personality, and results over intentions.
4. Once a decision is made, members of the organization unify behind the decision to ensure success – even those who disagreed with the decision.
5. We cultivate leaders that are highly capable individuals, strong contributing team members, competent managers, effective leaders, and have an ever-improving track record of making decisions.
6. We are rigorous in our selection process for getting the right people in the organization.
7. We do an exceptional job of retaining the right people in the organization.
8. When a person is a bad fit and we need to make a change – after we have given the individual full opportunity to demonstrate that he or she might be the right person – we deal with the issue.
9. A significant portion of our time is spent in one form or another with people decisions: getting the right people into the organization, getting the right people in the right positions, getting the wrong people out of the organization, developing people into advanced positions, planning for success, etc.
10. When things go wrong, we seek to understand underlying root causes, rather than pin the blame on the individual.
11. Our leaders ask a lot of questions, rather than just making statements, thereby creating a climate of vibrant dialogue and debate.
12. Our leaders do not allow their charisma or force of personality to inhibit people from bringing forth the facts – even if those facts are unpleasant or run contrary to the views held by those leaders.
13. People in our culture are never penalized for bringing forth the brutal facts.
14. We make excellent use of data, metrics and hard tangible evidence to assess and track external threats and internal weakness.
15. When facing difficult times, we are not unrealistic optimists banking on a “better tomorrow” to solve our problems.
16. Despite whatever tough situations we face, we have an unwavering faith that we can and will succeed in the end.
17. We believe that success is not primarily a function of circumstance; it is a function of conscious choice and discipline. It is up to us.
18. We have simple, clear strategic concepts that we pursue with relentless consistency
19. If we have multiple options for how to accomplish an objective, we almost always pick the simplest options that will work. We tend toward the path of simplicity, rather than complexity.
20. We believe that great results come about by a series of good decisions accumulated one on top of another.
21. We have the discipline to say “no thank you” to big opportunities that do not fit with our mission. A “once-in-a-lifetime opportunity” is irrelevant if it is the wrong opportunity.

Table 3.4 (Continued): Good to Great Diagnostic Tool Assessment Questions (Collins, 2006)

Good to Great Assessment Statements (Continued)
22. We make excellent use of “stop doing” lists, a list of activities and procedures that do not work and take away from organizational success.
23. A cornerstone of our culture is the idea of freedom and responsibility within a framework: so long as people stay within the bounds of the framework, they have an immense amount of freedom to innovate, achieve and contribute.
24. People in our system understand that they do not have “jobs,” they have responsibilities, and they grasp the distinction between just doing assigned tasks and taking full responsibility for the results of their efforts.
25. We can answer the question for each significant activity, “Who is the one person responsible?”
26. Our culture is a productive blend of dualities, such as: freedom and responsibility, discipline and entrepreneurship, rigor, and creativity, financial control and innovate spirit, focused activity and adaptable.
27. We do not spend a lot of time motivating our people; we recruit self-motivated people, and provide an environment that does not demonstrate them.
28. We do not spend a lot of time disciplining our people; we recruit self-disciplined people, and then manage the system, not the people.
29. We avoid bureaucracy that imposes unnecessary rules on self-motivated and self-disciplined people; if we have the right people, they don’t need a lot of rules
30. In our culture, people go to extremes to fulfill their commitments and deliver results.
31. Words like “disciplined,” “rigorous,” “dogged,” “determined,” “diligent,” “precise,” “systematic,” “methodical,” “workmanlike,” “demanding,” “consistent,” “focused,” “accountable,” and “responsible” describe us well.
32. We are equally disciplined in good times as in bad times. We never allow prosperity to make us complacent.
33. We build success by a cumulative process – step-by-step, action-by-action, day-by-day, week-by-week, year-by-year.
34. No single organizational push by itself accounts for the majority of our momentum; we understand that it requires sustained effort to turn any big decision into a successful decision.
35. When examining our behavior, one word that comes to mind is consistency – consistency of purpose, consistency of values, consistency of high standards, consistency of people, and so forth.
36. Our success derives from a whole bunch of interlocking parts that consistently reinforce one another.
37. We have immense flexibility and we adapt well to change – but always within the context of a clear mission.
38. We do not succumb to the lazy, undisciplined search for a cure – all solution – be it a new program or a motivational event.
39. We do not build momentum, then stop, lurch in a new direction, lose our momentum and start anew. We have the discipline to build momentum and continue to build it – and to not lurch from new program to new program.
40. We are characterized much more by building momentum that builds upon itself towards our goals than losing momentum by shifting from program to program and fad to fad that moves us further from our goals.
41. We have a passionately- held set of core values that we adhere to, no matter how much the world changes around us.
42. We are honest about what our core values actually are. We don’t worry about what outsiders think of our values; they are for internal guidance, not marketing.

Table 3.4 (Continued): Good to Great Diagnostic Tool Assessment Questions (Collins, 2006)

Good to Great Assessment Statements (Continued)
43. We are clear on the difference between our core values (which should never change) as distinct from our operating practices, cultural norms, goals, strategies, and tactics (which should remain open for change).
44. While we hold our core values constant, we stimulate progress – change, improvement, innovation, and renewal – in the operating practices, cultural norms, goals, strategies and tactics that surround the core values.
45. We have built a culture that so consistently reinforces our core values that those who do not share the values are eventually leave the organization.
46. We are consistent with our values and it is evident in our daily actions.
47. No matter how much we achieve, we never feel comfortable or feel that we’ve arrived. We’re obsessively focused on our shortcomings – on what we could do better.
48. We are successful at achieving our largest most difficult goals; we rarely fall short of the extreme standards of achievement we set for ourselves.
49. We have long-term goals in place, which we have broken down into smaller objectives.
50. Our largest most difficult goals are in direct alignment with our mission.
51. Our leaders are building a system that can prosper beyond their presence.
52. If any individual leader were to disappear tomorrow, our discipline would remain as strong as ever because we have built a culture of discipline.
53. We hold our leaders accountable for the success of their successors.
54. We have red flag mechanisms that bring brutal facts to our attention, and force us to confront those facts, no matter how uncomfortable.
55. We set in place powerful mechanisms that stimulate progress and continually improve.
56. No matter what short-term pressures we face – financial distress, political instability, limited resources – we build for long-term success.

SCORING THE GOOD TO GREAT DIAGNOSTIC TOOL

Using a traditional grade point average (GPA) system, the grades that respondents use to assess each statement, A, B, C, D, or F, have a corresponding numeric value of 4.0, 3.0, 2.0, 1.0, and 0 respectively. The corresponding numeric value of each grade is multiplied by the frequency that the grade was assigned by the respondents assessing the statement to give the quality points for each grade. Finally, the GPA is calculated by dividing the total quality points for the statement by the total number of respondents grading the statement. In addition to calculating the GPA for each statement, I use the same process to figure out the GPA for each demographic, category, and the overall county. Table 3.5 provides an example of how the GPA for a statement is calculated.

Table 3.5: Good to Great GPA Calculation

Grade	Corresponding Numeric Value	Respondents' Grade Allocation of Statement	Quality Points = Grade Numeric Value x Allocation
A	4.0	3	$4.0 \times 3 = 12$
B	3.0	2	$3.0 \times 2 = 6$
C	2.0	0	$2.0 \times 0 = 0$
D	1.0	1	$1.0 \times 1 = 1$
F	0.0	0	$0.0 \times 0 = 0$
Total		6	19

Total "Quality Points" 19 divided by total "Respondent Grade Allocations" 6 = Statement GPA 3.17

PARTICIPANTS

To accurately assess the overall cultural profile of the county, it is necessary to gather the opinions of employees at all hierarchy levels and from all sectors throughout the organization. Each employee is exposed to the culture of the organization day-in and day-out and has a unique perspective. Therefore the OCAI assessment included the input from all 1,245 employees working in the Yolo County organization. Each of these employees was invited to voluntarily participate and complete the OCAI in order to collect a broad-based assessment of the cultural identity that currently exists in Yolo County as well as preferences for the future.

For the Good to Great Diagnostic Tool, the leadership team within the organization was targeted. Specifically this leadership team was made up of 46 department heads and deputy department heads from various divisions within Yolo County. The participant pool for this assessment was kept to the leadership group because the Good to Great Diagnostic Tool requires an intricate understanding of the organization and its operations that is most likely to be present in the leadership team. Additionally, the Good to Great model has been the topic of discussion amongst Yolo County's leadership team. It has served somewhat as an organizational development guide for county leadership in their goal of progressing Yolo County into a great, learning organization able to successfully handle any challenge that comes its way. Therefore, the respondent group for the Good to Great assessment survey was determined to focus on the leadership team.

DEMOGRAPHIC QUESTIONS

Current demographic data of Yolo County employees was unavailable; therefore, demographic questions were included in the survey to allow for cross comparison of results from different tenure levels, hierarchical levels, and sectors of the organization. Only general questions were used to avoid collecting information that was too personal or might be used to identify respondents. The demographic questions asked are listed in Table 3.6.

Table 3.6: Demographic Questions asked During Assessments

Demographic Questions	
How would you best describe your position at Yolo County?	How would you best describe the area of the organization that you work?
Administrative / Support	Public Safety or Judicial Services
	Health and Human Services
Manager / Director / Supervisor	Agriculture / Planning / Public Works
Analyst / Technician / Specialist / Professional	Fiscal or Accounting Services
	General Government Services
Public Safety	Facilities or Maintenance
Facilities / Maintenance	Park or Library Services
How long have you been an employee of Yolo County?	
Less than 2 years	6 to 10 years
2 to 5 years	Longer than 10 years

PROCEDURES AND DATA COLLECTION

All the employees at Yolo County were invited to participate in the research project by an email sent to them by Patrick Blacklock, the Yolo County Administrator, on behalf of the researcher. The participants were presented with a cover letter introducing the purpose and goals of the project as well the steps taken to limit any risks associated with participating in the project. Participants that chose to participate were allowed a reasonable amount of time to complete the surveys during their normal work hours. A first email was sent out to all 1,245 people in the organization asking them to participate in a survey to complete the OCAI assessment. This email was sent on October 11, 2012. A second email was sent on October 12, 2012 to only the select leadership team of 46 people to ask them to participate and complete a second survey, the Good to Great Diagnostic Tool. The survey for each step was given via SurveyMonkey, an customizable online survey tool that is able to collect and report out the data. One follow up email to remind people wishing to participate to complete the surveys before the deadline was sent to each group. Both surveys were open for about a week and closed on October 19, 2012.

IN SUMMARY

This chapter presented the methodology used to execute the two assessment surveys, particularly the guidelines, questions, and scoring methodology. The OCAI assessment survey directed to all of the members of the Yolo County organization is described first, followed by the Good to Great assessment survey directed to the leadership group at Yolo County. Next, the specific composition of the participant pool and the demographic questions used to provide detailed crosstab analysis are provided. Finally, the procedure for distributing the survey and collecting the subsequent data is described. The next chapter will present the survey results and scoring of the two assessment models.

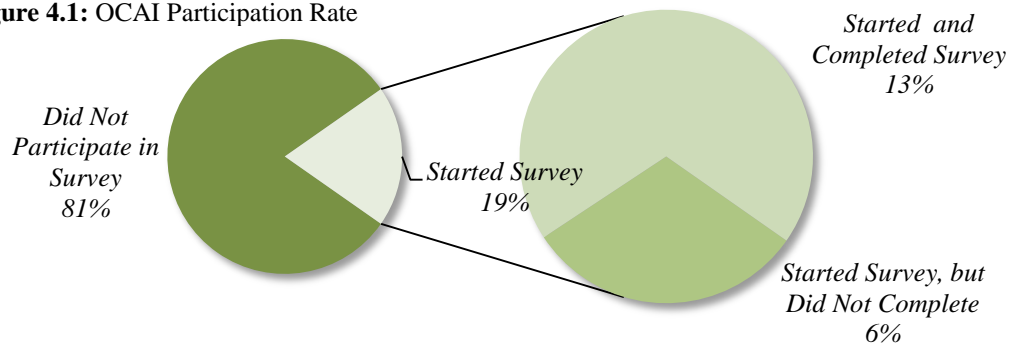
CHAPTER 4: ASSESSMENT RESULTS

This chapter presents the results of the two assessment models surveys, each with a distinctive lens for viewing the culture within Yolo County. After collecting the survey results, I then arranged the data using the corresponding assessment model, the OCAI model and the Good to Great Diagnostic Tool. The data presented includes participation rates for each survey, the overall results, and crosstab results based on the demographic questions asked. The chapter will be divided into two parts to present the results for each survey, starting with the OCAI model and then followed by the Good to Great model.

ORGANIZATIONAL CULTURE ASSESSMENT INSTRUMENT RESULTS

The survey for the OCAI model was sent to all 1,245 employees of Yolo County. Of those that received the survey, 242 employees started the survey for a rate of 19%. Of those that started the survey, 167 employees completed the entire survey for a completion rate of 13%. I only used the responses of the 167 participants that completed the survey as the base data for this assessment model. I also used crosstabs based on the demographic questions asked to narrow the respondent pool into specific demographic groups. Figure 4.1 shows the participation breakdown for the OCAI assessment.

Figure 4.1: OCAI Participation Rate



The survey asked participants three demographic questions relating to length of employment at Yolo County, their position at Yolo County, and sector of Yolo County that they work. Figure 4.2, 4.3, and 4.4 graphically illustrate the demographic breakdown of the respondents. For length of employment, about two-thirds of the respondents reported that they have been with Yolo County for longer than 5 years with the most reporting that they have been with Yolo County for longer than 10 years. For position type, almost half of the respondents reported being part of the “analyst, technician, specialist, or professional” category. The second most frequent position is the manager, director, or supervisor group, with almost a quarter of the participant pool reporting that they fall into this category. The largest area of the organization represented in the participant pool is health and human services with 37%. The next largest areas are public safety or judicial services and general government services at 20% and 17% respectively. Three people skipped the demographic questions. Without base demographic data about employment statistics at Yolo County, I was unable to conclude whether anyone demographic group was over or under represented in the results.

Figure 4.2: OCAI Demographics - Employment Length

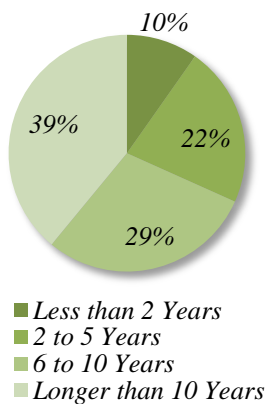


Figure 4.3: OCAI Demographics - Type of Employment

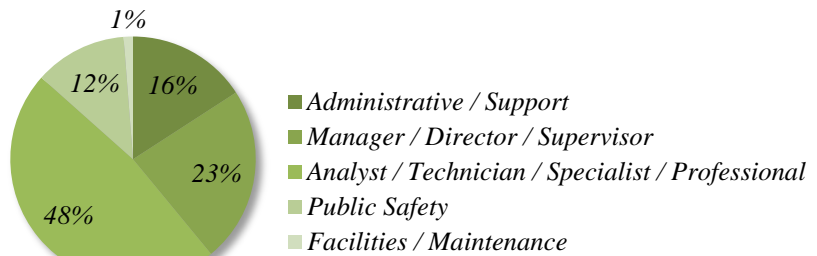
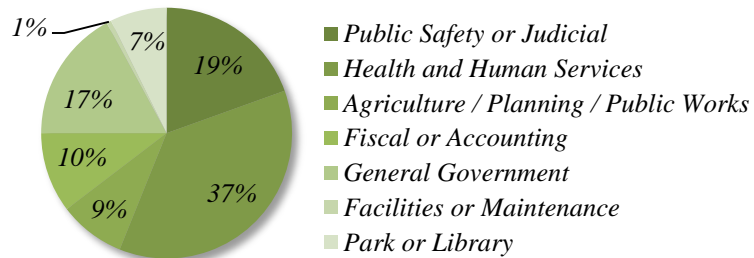


Figure 4.4: OCAI Demographics - Sector of Employment



OCAI DIMENSIONS

Table 4.1 and Figure 4.5 on pages 53 and 54 respectively, present the overall OCAI scores for Yolo County as well as the average scores for each sub-dimension used to assess the overall cultural profile. As described in Chapter 2 and summarized in Table 2.2, the OCAI uses six sub-dimensions to target a specific fundamental manifestation of culture within the organization. The six sub-dimensions are: dominant characteristics, organizational leadership, management of employees, organization glue, strategic emphasis, and criteria for success. The narrowed scope of each individual sub-dimension is compiled together to create a comprehensive culture profile of the whole organization; however, they can also be examined independently to focus on one particular aspect of the organizational culture. For example, detailed analysis of the scores for the “management of employees” dimension may provide insight into the influence of management styles on the culture in the organization that may not be apparent in the overall cultural profile made up of all the dimensions.

Table 4.1 also lists the average “now” and “preferred” scores of all respondents. The now scores are gathered from questions 1-6 of the OCAI survey and the preferred scores are from questions 7-12 of the survey. Additionally, Table 4.1 lists the “difference” score, which is the difference between the now score and the preferred score or a particular statement. While not part of the basic OCAI assessment, the difference score highlights the magnitude of the discrepancy between the current and preferred scores. When the preferred score is greater than the now score, a (+) sign follows the difference score. When the preferred score is less than the now score, a (-) sign follows the difference score.

To show the differences among the scores of a particular sub-dimension group, the highest and lowest scores of the now, preferred, and difference scores for each group are shaded. Red shading refers to the now scores, blue shading refers to the preferred scores, and purple

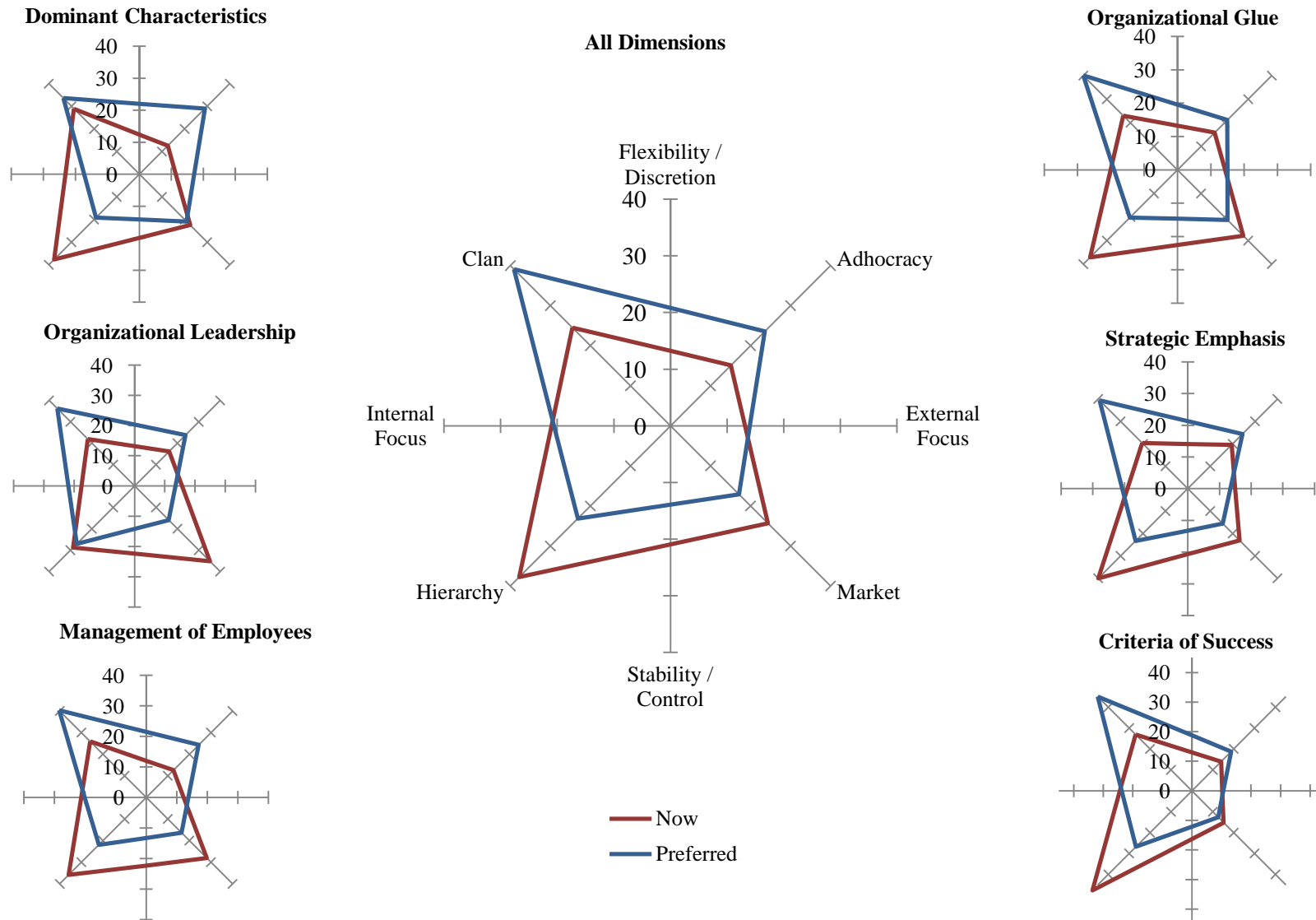
shading for the difference scores. The darker colored shading means that it was the highest score of the group and the lighter colored shading means that the score was the lowest of the group.

Figure 4.5 illustrates the OCAI mapping of the scores shown in Table 4.1. The visual representation of the OCAI scores is a unique way to present and analyze the cultural profile of Yolo County beyond the basic number scores. The large radar graph in the center shows the overall OCAI score for Yolo County and the smaller surrounding radar graphs illustrate the scores of the individual sub-dimensions. Again the red lines refer to the now rating of the organization and the blue lines refer to the preferred rating of the organization. The next sections will further analyze the scores of the specific sub-dimensions.

Table 4.1: OCAI Results – all participants broken out by dimension. (N=167)

All Dimensions	Now	Preferred	Difference
Clan – Average of all A responses	24.50	39.09	14.59 (+)
Adhocracy –Average of all B responses	15.11	23.58	8.47 (+)
Market – Average of all C responses	24.34	17.11	7.23 (-)
Hierarchy – Average of all D responses	37.78	23.15	14.63 (-)
Dominant Characteristics: Yolo County is a very...	1. Now	7. Pref.	Difference
A. Clan – Personal place. It is like an extended family. People seem to share a lot of personal information and features.	28.89	33.63	4.74 (+)
B. Adhocracy – Dynamic entrepreneurial place. People are willing to stick their necks out and take risks.	12.55	29.00	16.45 (+)
C. Market – Results oriented place. A major concern is with getting the job done. People are very competitive and achievement oriented.	22.44	20.87	1.47 (-)
D. Hierarchy – Controlled and structured place. Formal procedures generally govern what people do.	37.70	19.21	18.49 (-)
Organizational Leadership: The leadership in Yolo County is generally considered to exemplify...	2. Now	8. Pref.	Difference
A. Clan – Mentoring, facilitating, or nurturing.	21.92	36.20	14.28 (+)
B. Adhocracy – Entrepreneurship, innovating, or risk taking.	16.18	23.85	7.67 (+)
C. Market – A no-nonsense, aggressive, results-oriented focus.	35.23	15.95	19.28 (-)
D. Hierarchy – Coordinating, organizing, or smooth-running efficiency.	28.75	27.06	1.69 (-)
Management of Employees: The management style in Yolo County is characterized by...	3. Now	9. Pref.	Difference
A. Clan – Teamwork, consensus, and participation.	25.90	40.30	14.40 (+)
B. Adhocracy – Individual risk-taking, innovation, freedom, and uniqueness.	12.61	24.35	11.74 (+)
C. Market – Hard-driving competitiveness, high demands, and achievement.	28.10	16.39	11.71 (-)
D. Hierarchy – Security of employment, conformity, predictability, and stability in relationships.	35.90	21.94	13.96 (-)
Organizational Glue: The glue that holds Yolo County together is...	4. Now	10. Pref.	Difference
A. Clan – Loyalty and mutual trust. Commitment to this organization runs high.	22.98	40.03	17.05 (+)
B. Adhocracy – Commitment to innovation and development. There is an emphasis on being on the cutting edge.	15.79	21.13	5.34 (+)
C. Market – The emphasis on achievement and goal accomplishment. Aggressiveness and winning are common themes.	27.96	21.25	6.71 (-)
D. Hierarchy – Formal rules and policies. Maintaining a smooth-running organization is important.	37.11	20.63	16.48 (-)
Strategic Emphasis: Yolo County emphasizes...	5. Now	11. Pref.	Difference
A. Clan – Human development. High trust, openness, and participation persist.	20.34	39.37	19.03 (+)
B. Adhocracy – Acquiring new resources and creating new challenges. Trying new things and prospecting for opportunities are valued.	19.55	24.35	4.80 (+)
C. Market – Competitive actions and achievement. Hitting stretch targets and winning in the marketplace are dominant.	23.07	15.63	7.44 (-)
D. Hierarchy – Permanence and stability. Efficiency, control and smooth operations are important.	39.96	23.34	16.62 (-)
Criteria of Success: Yolo County defines success on the basis of...	6. Now	12. Pref.	Difference
A. Clan – The development of human resources, teamwork, employee commitment, and concern for people.	26.94	45.00	18.06 (+)
B. Adhocracy – Having the most unique or newest products. It is a product leader and innovator.	13.96	18.77	4.81 (+)
C. Market – Winning in the marketplace and outpacing the competition. Competitive market leadership is key.	15.21	12.59	2.62 (-)
D. Hierarchy – Efficiency. Dependable delivery, smooth scheduling and low-cost production are critical.	47.61	26.73	20.88 (-)

Figure 4.5: Visual Mapping of OCAI Results – all participants broken out by dimension (N=167)



Dominant Characteristics

Question 1 and question 7 of the OCAI assessment survey asked participants about the mix of dominant characteristics that they believe is present in Yolo County. For the “now” portrayal of this item, the Hierarchy culture score is highest with 37.7 points. Meaning, the dominant characteristics reported are mostly of a formalized and structured environment where procedures govern what the person does. The traits of a Clan culture, where the work environment has a family style atmosphere, is second with 28.89 points, which also is the highest now Clan culture score of all the dimensions. The other cultural types are less represented in this dimension with scores of 22.44 points for the Market culture and 12.55 points for an Adhocracy culture.

For the preferred scores, the Clan culture is the largest score of 33.63 points, which yields a 4.74 point increase from the now to the preferred score. Overall, this is the lowest preferred Clan culture score and by far the lowest Clan culture score difference between all the dimensions. The Adhocracy culture is a close second with a preferred score of 29, which is the highest Adhocracy preferred score of all the dimensions. The Adhocracy culture also has the highest difference score of all the statements within the dominant characteristics sub-dimension with a 16.45 point increase from the now to the preferred. Meaning, respondents would greatly prefer that the dominant characteristics of Yolo County to be mix of a personable extended family culture where people are willing to be entrepreneurial and take risks. The Hierarchy culture has the lowest preferred score in the group at 19.21, which is the lowest difference score at 18.49 points lower than the now score. The Market culture is a close second with a preferred score of only 20.87. Meaning, respondents would not prefer a controlled and achievement oriented culture.

Organizational Leadership

Question 2 and question 8 of the OCAI assessment survey asked participants about the mix of organizational leadership traits that they believe is present in Yolo County. This sub-dimension focuses on how employees perceive the leadership style in the organization. The Market and Hierarchy culture scores are highest with 35.23 points and 28.75 respectively. This means leaders are mostly perceived to be demanding and competitive (Market culture) as well as efficiency-minded with a focus on coordination and organization (Hierarchy culture). Of all the sub-dimensions, this was by far the highest Market culture score for the now section. With 21.92 points, the Clan culture, where leaders are considered to be mentors to others, is third. The Adhocracy culture has fewer exhibited characteristics for this dimension with 16.18 points in which leaders are considered entrepreneurial risk takers.

For the preferred, the Clan culture is the highest of the group and the Market culture has the lowest preferred score of the group. Meaning, respondents would prefer a mentoring and facilitating leader to an aggressive, results oriented leader, which, according to the respondents, is the current characterization of leadership within the organization. This discrepancy is again highlighted as the largest differentiation between the current and preferred situation is the Market culture with a decrease of 19.28 points and the Clan culture with an increase 14.28 points. The Adhocracy culture is third with an increase of 7.67 points and the Hierarchy culture did not change much with a decrease of 1.69 points.

Management of Employees

Question 3 and question 9 of the OCAI assessment survey asked participants about the management of employees in Yolo County. This sub-dimension focuses on how respondents perceive the style of management within Yolo County. The employee management

characteristics of the Hierarchy culture are the highest with 35.90 points. These characteristics include employment security, predictability, and stability. The high demands and competitiveness of the Market culture is second with 28.10 points. Clan culture, which includes employee cohesion, participation, and teamwork, follows closely in third with 25.90 points. The individual risk taking and innovation of the Adhocracy culture is last with 12.61 points.

In the preferred situation, the Clan culture is highly favored with over 40 points. The preference for the Adhocracy and Hierarchy culture types are preferred about the same at around 20 points and the Market culture is least preferred with only 16.39 points. Meaning, respondents prefer management techniques that focus on teamwork and participation rather than the focus on conformity and security of employment, which makes up the current situation. There is at least an 11-point difference between the current and preferred situation as it relates to the management of employees in all the culture types with preference to increase the Clan and Adhocracy culture traits and to decrease the Hierarchy and Market culture traits.

Organizational Glue

Question 4 and question 10 of the OCAI assessment survey asked participants about the glue that holds the Yolo County organization together. This sub-dimension measures the uniting characteristics that hold the organization together. The formal rules and policies of the Hierarchy culture were reported as the highest culture with 37.11 points. Second, with 27.96 points, is a Market culture with an emphasis on aggressively accomplishing achievements and goals as the unifying characteristics. The characteristics of loyalty and mutual trust that make up the Clan culture are a close third with 22.98 points. Again, the Adhocracy culture of innovation and development is last among the now scores.

The Clan culture is again highly preferred with over 40 points, while the other three culture types are all preferred about the same with about 20 points each. The difference between the now and the preferred is again high with at least 16 points for the Clan and Hierarchy culture. Meaning, respondents would prefer to have a trustworthy, committed, and loyal organizational glue and fewer rules and policies holding the organization together.

Strategic Emphasis

Question 5 and question 11 of the OCAI Assessment survey asked participants about what Yolo County emphasizes within the organization. The now scores show that the organization currently emphasizes stability, efficiency, and control for a consistent operation. These characteristics match up with the Hierarchy culture, which was rated highest with 39.96 points. Competitive action and attaining targets and goals of the Market culture is second with 23.07 points. Clan culture is third with 20.34 points, which emphasizes human development. Adhocracy culture is again fourth with 19.55 points, which emphasizes new challenges and opportunities.

The Clan culture is highly preferred. The preferred Adhocracy and Hierarchy cultures are about the same around 24 points. The Market culture has the fewest preferred culture traits. Again, the biggest difference between the now and preferred is with the Clan culture and the Hierarchy culture. The Clan culture increases 19 points while the Hierarchy culture decreases almost 17 points. Meaning respondents indicate that they would again prefer openness, trust, and human development to the current emphasis on stability, efficiency, and control.

Criteria of Success

Question 6 and question 12 of the OCAI assessment survey asked participants about the criteria Yolo County uses to measure success. The sub-dimension for the criteria of success examines the definitions of success within the organization. Success based on efficient, effective, and dependable delivery of services was rated very high with 47.61 points for the Hierarchy culture. This is the highest score of all the culture types across all the sub-dimensions. Success determined by the personal and professional development of employees, teamwork, and employee commitment is second as the Clan culture has 26.94 points. The Market culture of success based on being competitive in the marketplace is low with only 15.21 points, which is the lowest now score across all the dimensions. The Adhocracy culture of success based on innovating new products is last with 13.96 points.

The Clan culture is strongly preferred with 45 points, which is the highest preferred score across all dimensions. This preference is almost four times stronger than the preferred score of the Market culture, which is last. The point difference between the current and the preferred situation is large again in the Clan and the Hierarchy culture types with about a 20-point difference in each. Specifically the difference between the current Hierarchy culture traits and the preferred level of Hierarchy culture was most significant in this dimension than any other.

All Dimensions

To get the overall score that includes all the dimensions, the average scores are again averaged for each culture and for both the now and the preferred. Averaging all the responses for all twelve questions provides a cultural mix for the whole organization using all six sub-dimensions as a framework. Questions 1-6 provide a current depiction and questions 7-12 provide a preferred make up.

With a point total of 37.08 points the Hierarchy culture is the most dominant. Meaning structure, procedures, efficiency and predictability are the most prominent traits. Clan culture of a family-like atmosphere with high commitment to the person and professional development of the employee is second with 24.50 points. The goals and targets of the result-oriented Market culture is a close third with 24.34 points. Fourth is the Adhocracy culture of creativity, dynamism, and entrepreneurial spirit with 15.11 points.

The Clan culture was the most preferred culture type with 39.09 points. The Adhocracy and Hierarchy culture are both preferred about the same with 23.58 and 23.15 points respectively. The Market culture is least preferred with only 17.11 points. There is about a 14.5-point difference between current and the preferred cultural mix for both the Clan and the Hierarchy culture. Meaning, respondents want more flexibility and discretion in their jobs and less rigid control all while still maintaining an internal focus to develop and improve the organization and the people within it.

OCAI CROSSTABS

Table 4.2 and Figures 4.6, 4.7, and 4.8 present the OCAI scores for Yolo County broken out by different cross-sections of employees using the demographic question relating to length of employment, type of position, and sector within Yolo County. The narrowed scope of the different group types within Yolo County may highlight different cultural characteristics that are more or less apparent in a particular employment demographic than in others. The overall scores of all participants are also again listed in Table 4.2 to provide context when comparing the different cross-sections.

Table 4.2 lists the average “now” and “preferred” scores as well as the “difference” score for each of the demographic groups. When the preferred score is greater than the now score, a (+)

sign follows the difference score. When the preferred score is less than the now score, a (-) sign follows the difference score. Again, to show the differences among the scores of a particular demographic group, the highest and lowest scores of the now, preferred, and difference scores for each group are shaded. Red shading refers to the now scores, blue shading refers to the preferred scores, and purple shading is for the difference scores. The darker colored shading means that it was the highest score of the group and the lighter colored shading means that the score was the lowest of the group.

Figures 4.6, 4.7, and 4.8 illustrate the OCAI mapping of the scores shown in Table 4.2. The visual representation of the OCAI scores is a unique way to present and analyze the cultural profile of Yolo County beyond the basic number scores. The red lines refer to the now rating of the organization and the blue lines refer to the preferred rating of the organization. The next sections will further analyze the scores of the specific demographic.

Table 4.2: OCAI Results – Crosstabs of participants

Participant Group		Clan			Adhocracy			Market			Hierarchy		
		Now	Pref.	Diff.	Now	Pref.	Diff.	Now	Pref.	Diff.	Now	Pref.	Diff.
All Participants	All Dimensions (N=167)	24.50	39.09	14.59 (+)	15.11	23.58	8.47 (+)	24.34	17.11	7.23 (-)	37.78	23.15	14.63 (-)
Length of Employment													
	Less than 2 Years (N=16)	30.00	34.75	4.75 (+)	11.30	22.55	11.25 (+)	26.04	17.95	8.09 (-)	32.66	24.75	7.91 (-)
	2 to 5 Years (N=36)	27.08	40.36	13.28 (+)	14.70	25.58	10.88 (+)	24.89	16.69	8.20 (-)	38.32	20.79	17.53 (-)
	6 to 10 Years (N=48)	22.65	36.03	13.38 (+)	16.60	21.98	5.38 (+)	24.81	17.68	7.13 (-)	37.00	25.51	11.49 (-)
10 Years or More (N=64)	23.34	41.70	18.36 (+)	15.24	23.88	8.64 (+)	25.77	16.71	9.06 (-)	39.38	22.25	17.13 (-)	
Position at Yolo County													
	Manager, Director, or Supervisor (N=38)	27.30	36.90	9.60 (+)	16.88	24.99	8.11 (+)	20.94	19.11	1.83 (-)	37.84	21.44	16.40 (-)
	Analyst, Technician, Specialist, or Professional (N=78)	21.53	38.55	17.02 (+)	14.90	23.45	8.55 (+)	26.95	16.56	10.39 (-)	38.08	23.47	14.61 (-)
	Administrative or Support (N=26)	28.61	40.19	11.58 (+)	16.65	22.16	5.51 (+)	25.10	15.69	9.41 (-)	32.20	25.24	6.96 (-)
Public Safety (N=20)	23.14	38.77	15.63 (+)	10.79	21.79	11.00 (+)	25.50	17.14	8.36 (-)	41.92	22.67	19.25 (-)	
Sector at Yolo County													
	Health and Human Services (N=60)	23.93	40.55	16.62 (+)	13.65	21.80	8.15 (+)	27.93	15.92	12.01 (-)	37.66	25.19	12.47 (-)
	Agriculture, Planning, or Public Works (N=14)	20.26	39.30	19.04 (+)	17.37	26.84	9.47 (+)	21.85	18.83	3.02 (-)	44.98	21.03	23.95 (-)
	General Government (N=28)	22.14	34.38	12.24 (+)	18.44	24.47	6.03 (+)	20.93	18.38	2.55 (-)	38.98	24.02	14.96 (-)
	Fiscal or Accounting Services (N=17)	25.69	40.25	14.56 (+)	13.23	22.69	9.46 (+)	25.08	17.70	7.38 (-)	39.44	23.35	16.09 (-)
	Park or Library Services (N=12)	22.51	39.72	17.21 (+)	16.80	28.54	11.74 (+)	31.63	12.99	18.64 (-)	32.05	18.94	13.11 (-)
Public Safety or Judicial (N=32)	27.78	37.41	9.63 (+)	14.27	23.00	8.73 (+)	23.6	18.73	4.87 (-)	35.32	21.10	14.22 (-)	

Figure 4.6: Visual Mapping of OCAI Results – Length of Employment at Yolo County

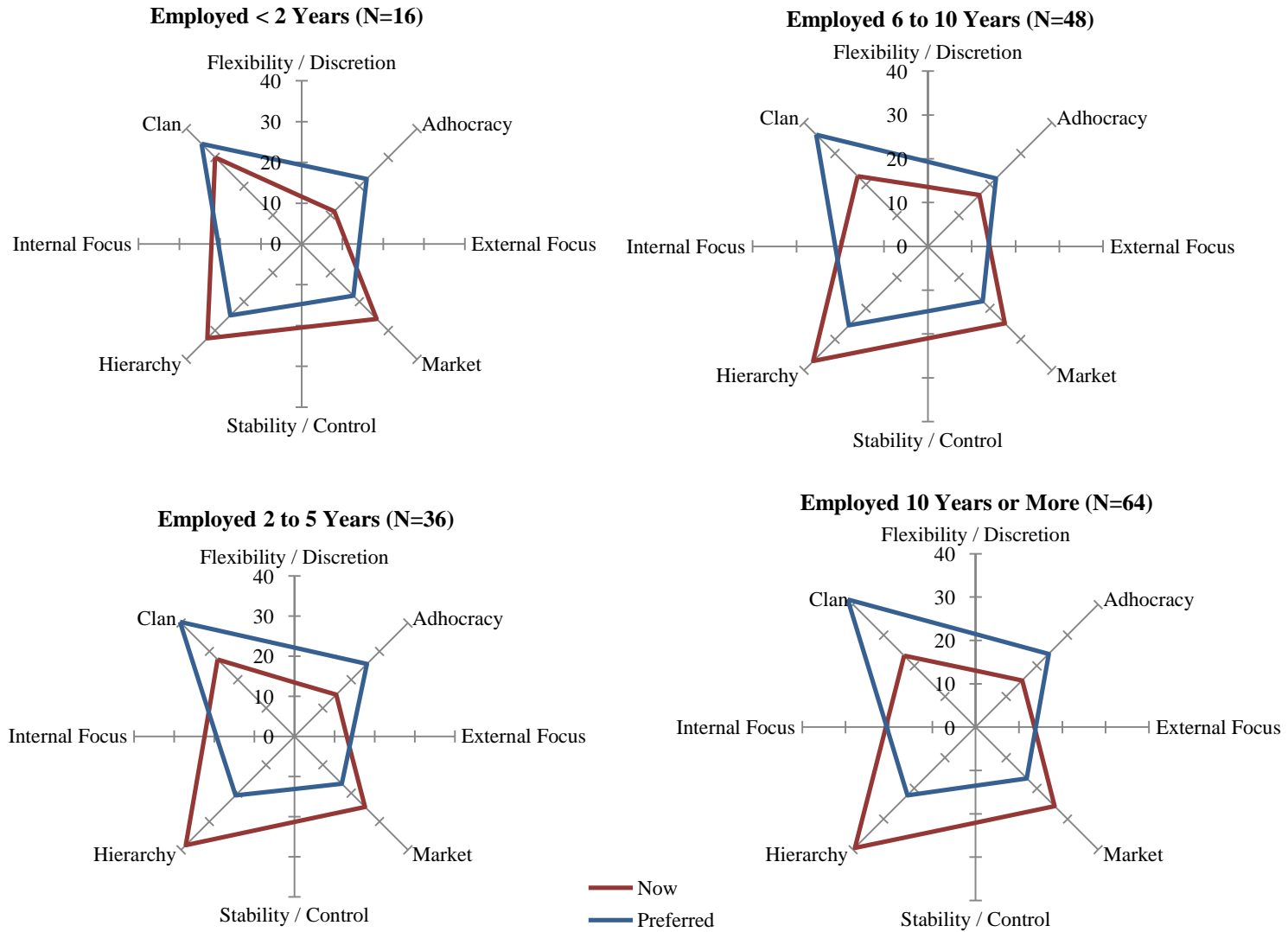
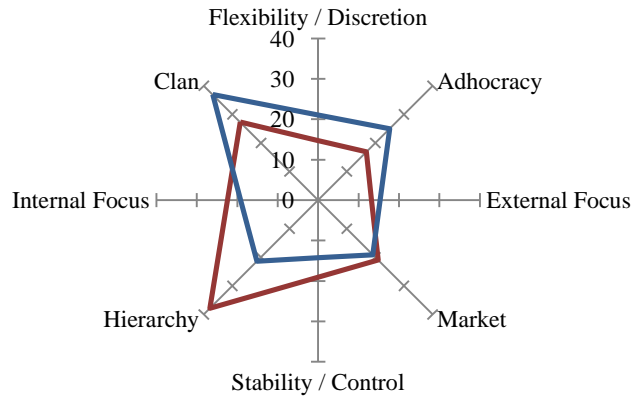
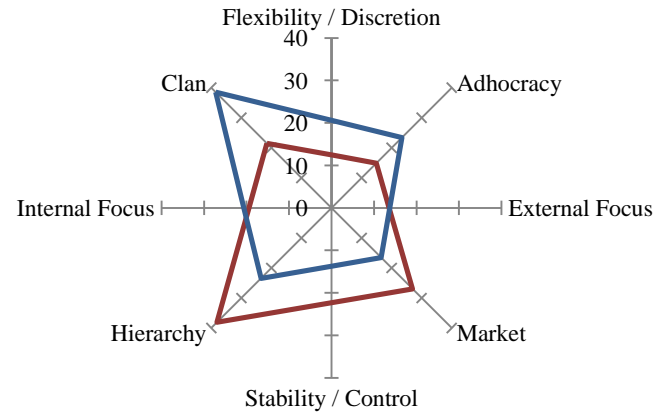


Figure 4.7: Visual Mapping of OCAI Results – Type of Employment at Yolo County

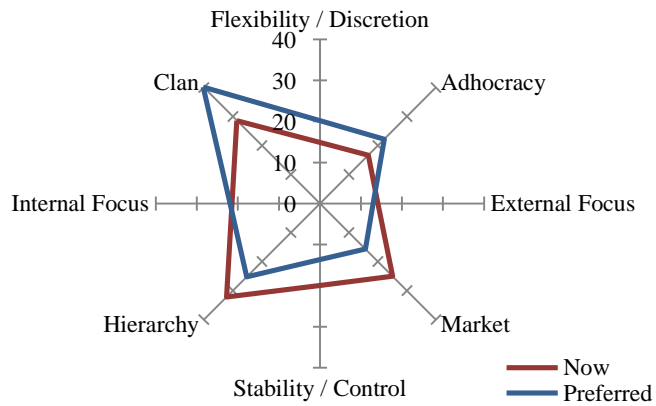
Manager, Director, or Supervisor (N=38)



Analyst, Technician, Specialist, or Professional (N=78)



Administrative or Support (N=26)



Public Safety (N=20)

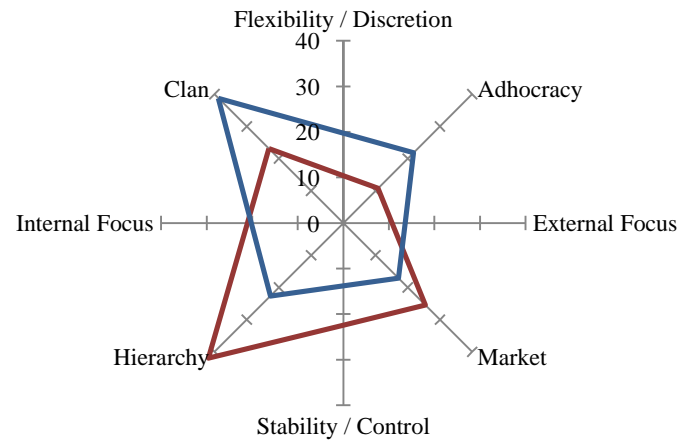
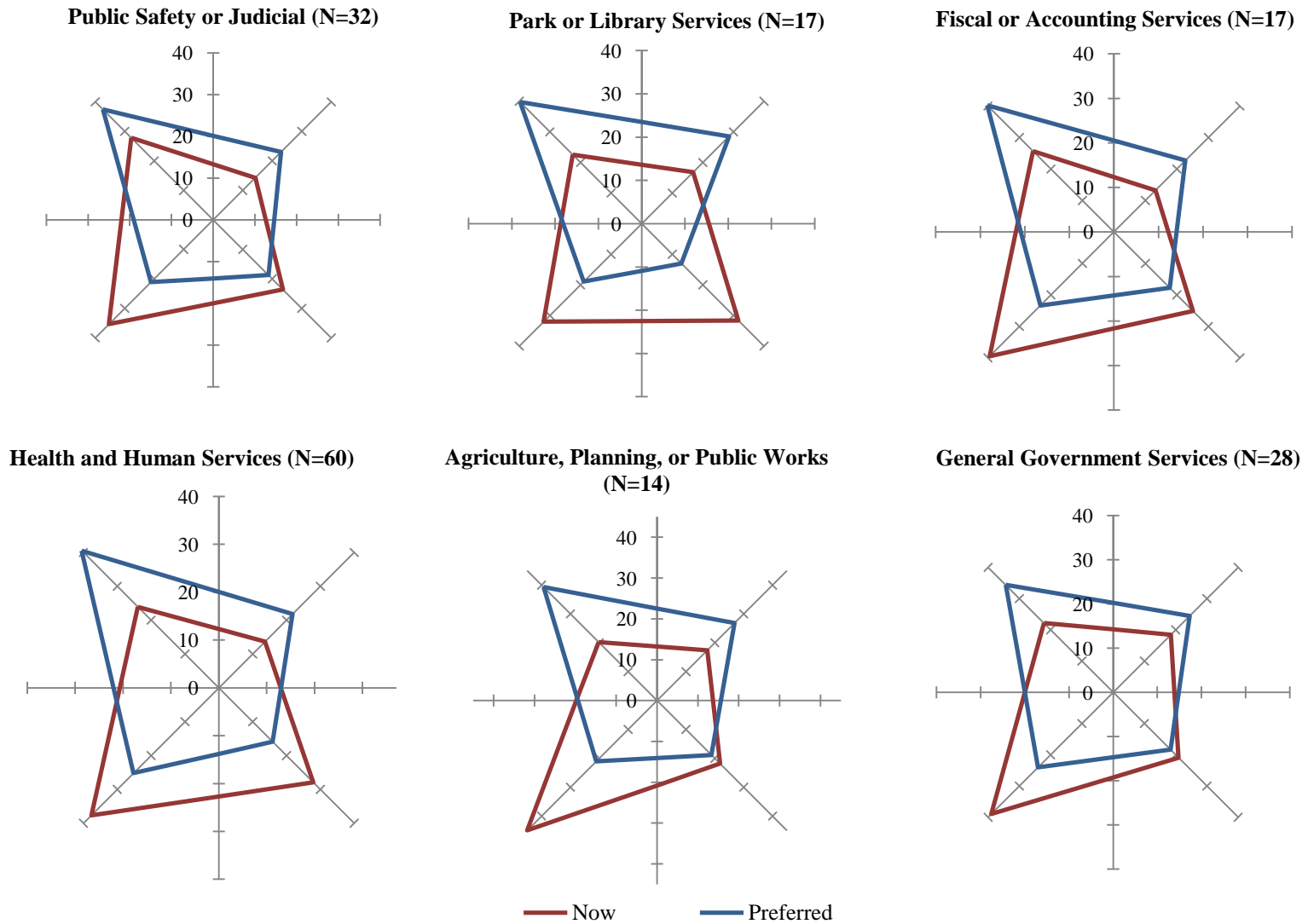


Figure 4.8: Visual Mapping of OCAI Results – Sector of employment at Yolo County



Length of Employment at Yolo County

Using the demographic question relating to length of employment at Yolo County, I am able to filter the survey results to isolate the responses for participants with different lengths of tenure at Yolo County. This crosstab analysis will show if the mix of culture types differs depending on the number of years employed at Yolo County. Table 4.2 and Figure 4.6 report the results for respondents in each length of tenure. Table 4.2 also shows the number of participants that fall into each category: 16 participants indicated that they have been with Yolo County for two years or less, 36 participants indicated that they have been with Yolo County between two and five years, 48 participants indicated that they have been with Yolo County between six and ten years, and 64 participants indicated that they have been with Yolo County ten years or more. 64 respondents in this demographic completed the survey.

For the participant groups divided by employment tenure at Yolo County, the breakdown of the scores across culture types as well as the current and preferred situation are fairly similar for three of the four groups. However, participants that reported being employed with Yolo County for less than two years indicated a different culture mix. Compared to those that have been employed with Yolo County longer, this group reported a higher score for the Clan culture and a lower score in the Hierarchy culture in the current Yolo County situation. Meaning, this group feels that there are more Clan culture traits and fewer Hierarchical traits that make up the Yolo County culture than reported by the more tenured employees.

Additionally, the employee group newly employed at Yolo County has a current mix of culture types that is more aligned with the preferred mix than the longer tenured groups, as shown by the smaller point differential between the current and the preferred scores. The more tenured groups all have much larger point differentials, with the greatest difference in the group of employees that have been with Yolo County for 10 years or more. The difference between the

newest employees at Yolo County and the most tenured employees appears to be specifically related to the discrepancy between the current and preferred Clan and Hierarchy culture traits. One explanation for why the newer employees stand out from the longer tenured employees may be that they are still in the extended orientation period within in the organization and are still feeling out the current culture of the organization. Whether this group maintains the current alignment as they move through the organization or if the differences between the perceived now situation and the preferred begins to mirror the alignments of those with more experience in the organization will be an important trend to watch as the Yolo County moves forward with its change efforts.

Position at Yolo County

Using the demographic question relating to employment position at Yolo County, I am able to filter the survey results to isolate the responses for participants in different types of positions at Yolo County. This crosstab analysis will show if the mix of culture types differs depending on the type of position at Yolo County. Due to a small number of respondents indicating that they worked in a facilities or maintenance position, this group was left out of the crosstab analysis. Table 4.2 and Figure 4.7 report the results for respondents in each employment position. Table 4.2 also shows the number of participants that fall into each category: 38 participants indicated that they work in a manager, director, or supervisor position with Yolo County, 26 participants indicated that they work in an administrative or support position with Yolo County, 78 participants indicated that they work in an analyst, technician, specialist, or professional position with Yolo County, and 20 participants indicated that they work in a public safety position with Yolo County.

The administrative and support group has the smallest cumulative point differential

between the current and the preferred with the management group as a close second. The analyst and the public safety groups are a distant third and fourth respectively. All employment levels have identified the Hierarchy culture as the most dominant current culture and the Clan culture as the most dominant preferred culture. The analyst, technician, specialist, or professional employment class and the public safety employment class have similar cultural mixes for both the current and the preferred. All of the employment levels have strong Clan preferences and fewer Hierarchy culture preferences. The public safety group reported the highest level of hierarchy culture characteristics for the current situation, which also translates into the biggest difference between the current and the preferred for the Hierarchy culture. For the Clan culture, the administrative or support group has the highest preferred level, while the analyst group has the largest discrepancy between the current and preferred situations.

One potential reason the administrative level of employment and the management level both have low differences between the current and preferred culture profiles is that these groups may not feel the effects of changes within the organization as much as other levels. Administrative support employees are generally charged with carrying out support services that are more basic routines that require following directions more than addressing complex challenges. On the opposite end of the employment spectrum, the director, managers, or supervisor group generally may have more control and direction of the changes within the organization, which may explain a more closely aligned perspective of the current situation and the preferred. Additionally, they may be deeply involved in directing and forming the culture of the organization. Caught in the middle is the analyst and professional demographic group, which had the highest difference between the current and preferred cultures. This group may face more complex challenges that require comprehensive solutions, such as executing ambiguous directives from leaders within the organization, but may feel more hampered by the lack of control over the

situation or the rules and regulations in place that shape their responses. Going forward, it may be worthwhile to further examine the cultural perspectives of the analyst / professional group as they are an intricate component for successful development of culture within the organization.

Sector at Yolo County

Using the demographic question relating to employment position at Yolo County, I am able to filter the survey results to isolate the responses for participants in different sectors at Yolo County. This crosstab analysis will show if the mix of culture types differs depending on the type of position at Yolo County. Due to a small number of respondents indicating that they worked in a facilities or maintenance sector, this group was left out of the crosstab analysis. Table 4.2 and Figure 4.8 reports the results for respondents in each employment position. Table 4.2 also shows the number of participants that fall into each category: 32 participants indicated that they work in a public safety or judicial sector at Yolo County, 60 participants indicated that they work in the health and human services sector at Yolo County, 12 participants indicated that they work in the park or library services sector at Yolo County, 14 participants indicated that they work in the agriculture, planning, or public works sector at Yolo County, 17 participants indicated that they work in the fiscal or accounting services sector at Yolo County, and 28 participants indicated that they work in the general government services sector at Yolo County.

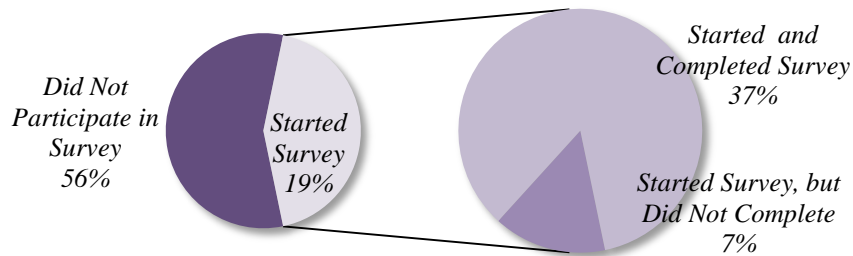
The clan profiles for the current and the preferred were similar across all the sectors within Yolo County. All reported a Hierarchy culture type for the current situation and would prefer a Clan oriented culture. However, two sectors slightly stood out from the rest, the public safety and judicial services sector and the parks and library services sector. The public safety and judicial services sector standing out may in part be because it is a semi-autonomous sector that falls under the prevue of the county sheriff, which is an elected official. While still technically

part of the overall county culture, it is different enough that it may have a unique culture with different dynamics and factors. The parks and library services stands out in that the respondents reported a high now score for the Market culture, which means that respondents feel that there is strong levels of hard driving competition within the organization and pressure to meet certain goals. This score may be the result of recent years of deep cuts to parks and library services, which are one of the few discretionary areas of the county budget. The parks department was especially hit hard with budget cuts, shrinking from a full department down to being absorbed within the County Administrator’s Office. The feeling that the Yolo County culture is a competitive and results oriented may be from recent struggles with fighting to compete for budget allocations during a time of budget deficits.

GOOD TO GREAT ASSESSMENT RESULTS

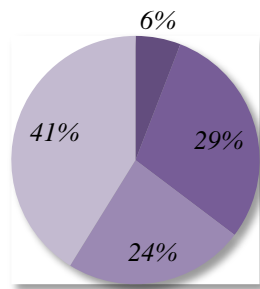
The survey for the Good to Great model was sent to the 46 department heads and deputy department heads that make up the leadership team at Yolo County. 20 of these employees started the survey for a rate of 43%. Of those that started the survey, 17 employees completed the entire survey for a completion rate of 37%. Only the responses of the 17 participants that completed the survey were used as the base data for this model. Crosstabs based on the demographic questions asked were used to further narrow the respondent pool into specific groups. Figure 4.9 shows the participant breakdown.

Figure 4.9: Good to Great Participation Rates



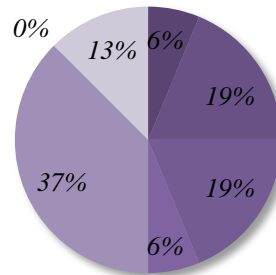
The assessment model asked participants two demographic questions relating to length of employment at Yolo County and area of Yolo County that they work. Their position at Yolo County was not used as a demographic question since the pool of respondents were all part of the same leadership group. For length of employment, about two-thirds of the respondents reported that they have been with Yolo County for longer than 5 years with the most reporting that they have been with Yolo County for longer than 10 years. For purposes of analysis only two categories were used for length of employment: those employed 5 years or less and those longer than 5 years. For position type, 6 respondents reported being in the general government services category. No other position type had more than 3 respondents. Since the respondent pool is small for most of the position types, I did not use the demographic for the crosstab analysis. Figure 4.10 and Figure 4.11 illustrate the Good to Great demographics for employment length and sector of employment respectively.

Figure 4.10: Good to Great Demographics – Employment Length



- Less than 2 Years
- 2 to 5 Years
- 6 to 10 Years
- Longer than 10 Years

Figure 4.11: Good to Great Demographics – Sector of Employment



- Public Safety or Judicial
- Health and Human Services
- Agriculture / Planning / Public Works
- Fiscal or Accounting
- General Government
- Facilities or Maintenance
- Park or Library

Table 4.3 shows the Good to Great grade point average (GPA) for the whole respondent group broken out by each category in the survey. The dark purple shading highlights the high GPA score while the lighter purple shading highlights the low score for the each group.

Table 4.3: Good to Great Diagnostic Tool GPA Results

Good to Great GPA Results (N=17)			
Category	Employed ≤ 5 Years (N=6)	Employed > 5 Years (N=11)	All
Disciplined People – Leadership	2.80	2.49	2.60
Disciplined People – Staff	2.43	2.27	2.33
Disciplined Thought – Facts	2.71	2.54	2.59
Disciplined Thought – Scope	2.11	2.48	2.35
Disciplined Action – Culture	2.58	2.26	2.38
Disciplined Action – Process	3.04	2.51	2.69
Building Greatness to Last – Preserve / Stimulate	2.78	2.30	2.47
Building Greatness to Last – Clock Building, Not Time Telling	2.54	2.32	2.40
Overall Yolo County GPA	2.68	2.39	2.49

The overall Yolo County GPA is 2.49, which translates into a C+. Using the grading rubric, this grade shows that there is some evidence of the traits of an organization making the leap from good to great, but there is also a spotty record of exhibiting these traits consistently. The process section of the Disciplined Action category, which focuses on consistent process and sustained effort to build and maintain momentum needed to transform the organization from good to great, scored the highest GPA with 2.69. The leadership section of Disciplined People and the facts section of Disciplined Thought also scored high with GPAs of 2.60 and 2.59 respectively. Contrarily, the staff section of the Disciplined People, which focused on whether the right people are in the organization and in the right positions, scored the lowest GPA with 2.33. The scope section of Disciplined Thought and the culture of the Disciplined Action also had low GPAs with 2.35 and 2.38 respectively.

Those that have been with Yolo County for a relatively short period of time, five years or less, reported a GPA of 2.68. Again process section of Disciplined Action and the leadership

section of Disciplined People had high GPA scores of 3.04 and 2.80 respectively. The preserve / stimulate section of the Building Greatness to Last group, where the focus is on whether there are mechanisms in place to preserve organizational progress and stimulate future progress, also had a high score with a 2.78. The scope section of the Disciplined Thought, where the focus is on if there is faith that the organization will continue forward towards its mission, had the lowest GPA at 2.11. This is the lowest GPA of all the sections among the entire crosstabs.

Those that have been with Yolo County for longer than five years reported a lower GPA of 2.39. The highest section in this group is the facts section of Disciplined Scope, where the focus is facing the reality and facts of a situation, with a GPA of 2.54. Again the staff section of the Disciplined People and the culture of the Disciplined Action groups had low GPAs of 2.27 and 2.26 respectively. As with the OCAI assessment, the difference between those newer to the organization than those longer in the organization could be the result of the newer group still feeling out the culture of the organization or that more tenured members have a longer, more informed history of the organization with which to base their opinions.

Table 4.4 lists all of the question statements that were graded by the respondents. They are ranked from highest GPA score, 3.19, to the lowest, 1.59. Additionally, along the left hand column I categorized the GPA scores according to a letter grade where A = 4.0, A- = 3.7, B+ = 3.3, B = 3.0, B- = 2.7, C+ = 2.3, C = 2.0, C- = 1.7, D = 1.0, and F = 0. There were no statements with an A, A-, or B+ grade and only three with a B grade. The bulk of the statements fell in to the C+ through C- range.

Table 4.4: Good to Great Diagnostic Tool Statements – Ranked by GPA for all participants

Good to Great Diagnostic Tool Statements Ranked by GPA – All Participants (N=17)		
A = 4.0, A- = 3.7, B+ = 3.3, B = 3.0, B- = 2.7, C+ = 2.3, C = 2.0, C- = 1.7, D = 1.0, F = 0		
Grade Range	GPA	Statement
A-B+	–	None
B	3.19	Despite whatever tough situations we face, we have an unwavering faith that we can and will succeed in the end.
	3.06	Our largest most difficult goals are in direct alignment with our mission.
	3.06	Our leaders are building a system that can prosper beyond their presence.
B-	2.94	When facing difficult times, we are not unrealistic optimists banking on a “better tomorrow” to solve our problems.
	2.94	We believe that success is not primarily a function of circumstance; it is a function of conscious choice and discipline. It is up to us.
	2.94	No single organizational push by itself accounts for the majority of our momentum; we understand that it requires sustained effort to turn any big decision into a successful decision.
	2.88	We have long-term goals in place, which we have broken down into smaller objectives.
	2.82	We build success by a cumulative process – step-by-step, action-by-action, day-by-day, week-by-week, year-by-year.
	2.81	We do not succumb to the lazy, undisciplined search for a cure – all solution – be it a new program or a motivational event.
	2.76	Our culture values substance over style, integrity over personality, and results over intentions.
	2.76	We are rigorous in our selection process for getting the right people in the organization.
	2.76	Our success derives from a whole bunch of interlocking parts that consistently reinforce one another.
	2.71	While some members of the leadership team might be charismatic, this is not the primary source of their effectiveness. They inspire others primarily via inspired standards—excellence, hard work, sacrifice, and integrity—not with an inspiring public persona.
	2.71	We do not build momentum, then stop, lurch in a new direction, lose our momentum and start anew. We have the discipline to build momentum and continue to build it – and to not lurch from new program to new program.
2.71	If any individual leader were to disappear tomorrow, our discipline would remain as strong as ever because we have built a culture of discipline.	
C+	2.69	We are characterized much more by building momentum that builds upon itself towards our goals than losing momentum by shifting from program to program and fad to fad that moves us further from our goals.
	2.65	We believe that great results come about by a series of good decisions accumulated one on top of another.
	2.65	We have the discipline to say “no thank you” to big opportunities that do not fit with our mission. A “once-in-a-lifetime opportunity” is irrelevant if it is the wrong opportunity.
	2.65	In our culture, people go to extremes to fulfill their commitments and deliver results.
	2.65	No matter how much we achieve, we never feel comfortable or feel that we’ve arrived. We’re obsessively focused on our shortcomings – on what we could do better.

Table 4.4 (Continued): Good to Great Diagnostic Tool Statements – Ranked by GPA for all participants

Good to Great Diagnostic Tool Statements Ranked by GPA – All Participants		
A = 4.0, A- = 3.7, B+ = 3.3, B = 3.0, B- = 2.7, C+ = 2.3, C = 2.0, C- = 1.7, D = 1.0, F = 0		
Grade Range	GPA	Statement
C+	2.59	We cultivate leaders that are highly capable individuals, strong contributing team members, competent managers, effective leaders, and have an ever-improving track record of making decisions.
	2.59	When things go wrong, we seek to understand underlying root causes, rather than pin the blame on the individual.
	2.59	People in our culture are never penalized for bringing forth the brutal facts.
	2.59	We can answer the question for each significant activity, “Who is the one person responsible?”
	2.59	Words like “disciplined,” “rigorous,” “dogged,” “determined,” “diligent,” “precise,” “systematic,” “methodical,” “workmanlike,” “demanding,” “consistent,” “focused,” “accountable,” and “responsible” describe us well.
	2.59	When examining our behavior, one word that comes to mind is consistency – consistency of purpose, consistency of values, consistency of high standards, consistency of people, and so forth.
	2.59	We are consistent with our values and it is evident in our daily actions.
	2.56	We are equally disciplined in good times as in bad times. We never allow prosperity to make us complacent.
	2.53	The leaders who sit in the most powerful seats in our organization are ambitious first and foremost for the cause, the organization, the work—not themselves—and they have an iron will to do whatever it takes to make good on that ambition.
	2.53	No matter what short-term pressures we face – financial distress, political instability, limited resources – we build for long-term success.
	2.47	We do an exceptional job of retaining the right people in the organization.
	2.47	A cornerstone of our culture is the idea of freedom and responsibility within a framework – so long as people stay within the bounds of the framework, they have an immense amount of freedom to innovate, achieve and contribute.
	2.47	We are honest about what our core values actually are. We don’t worry about what outsiders think of our values; they are for internal guidance, not marketing.
	2.41	Once a decision is made, members of the organization unify behind the decision to ensure success – even those who disagreed with the decision.
	2.41	Our culture is a productive blend of dualities, such as: freedom and responsibility, discipline and entrepreneurship, rigor, and creativity, financial control and innovate spirit, focused activity and adaptable.
	2.41	We have a passionately- held set of core values that we adhere to, no matter how much the world changes around us.
	2.41	While we hold our core values constant, we stimulate progress – change, improvement, innovation, and renewal – in the operating practices, cultural norms, goals, strategies and tactics that surround the core values.
2.35	Our leaders ask a lot of questions, rather than just making statements, thereby creating a climate of vibrant dialogue and debate.	
2.35	We do not spend a lot of time motivating our people; we recruit self-motivated people, and provide an environment that does not demotivate them.	

Table 4.4 (Continued): Good to Great Diagnostic Tool Statements – Ranked by GPA for all participants

Good to Great Diagnostic Tool Statements Ranked by GPA – All Participants		
A = 4.0, A- = 3.7, B+ = 3.3, B = 3.0, B- = 2.7, C+ = 2.3, C = 2.0, C- = 1.7, D = 1.0, F = 0		
Grade Range	GPA	Statement
C+	2.35	We do not spend a lot of time disciplining our people; we recruit self-disciplined people, and then manage the system, not the people.
C	2.29	We avoid bureaucracy that imposes unnecessary rules on self-motivated and self-disciplined people; if we have the right people, they don't need a lot of rules.
	2.24	Our leaders do not allow their charisma or force of personality to inhibit people from bringing forth the facts – even if those facts are unpleasant or run contrary to the views held by those leaders.
	2.24	If we have multiple options for how to accomplish an objective, we almost always pick the simplest options that will work. We tend toward the path of simplicity, rather than complexity.
	2.24	People in our system understand that they do not have “jobs” – they have responsibilities – and they grasp the distinction between just doing assigned tasks and taking full responsibility for the results of their efforts.
	2.19	We have immense flexibility and we adapt well to change – but always within the context of a clear mission.
	2.19	We hold our leaders accountable for the success of their successors.
	2.18	We have simple, clear strategic concepts that we pursue with relentless consistency.
	2.18	We are clear on the difference between our core values (which should never change) as distinct from our operating practices, cultural norms, goals, strategies, and tactics (which should remain open for change).
	2.18	We are successful at achieving our largest most difficult goals; we rarely fall short of the extreme standards of achievement we set for ourselves.
	2.06	A significant portion of our time is spent in one form or another with people decisions: getting the right people into the organization, getting the right people in the right positions, getting the wrong people out of the organization, developing people into advanced positions, planning for success, etc.
	2.00	When a person is a bad fit and we need to make a change – after we have given the individual full opportunity to demonstrate that he or she might be the right person – we deal with the issue.
	2.00	We make excellent use of data, metrics and hard tangible evidence to assess and track external threats and internal weakness.
C-	1.94	We have red flag mechanisms that bring brutal facts to our attention, and force us to confront those facts, no matter how uncomfortable.
	1.94	We set in place powerful mechanisms that stimulate progress and continually improve.
	1.88	We have built a culture that so consistently reinforces our core values that those who do not share the values eventually leave the organization.
D	1.59	We make excellent use of “stop doing” lists, a list of activities and procedures that do not work and take away from organizational successes.

IN SUMMARY

This chapter presented the survey scores for both the OCAI assessment survey and the Good to Great Diagnostic Tool assessment survey. For the OCAI, the model presents the results both numerically and graphically, as indicated in the tables and figures of Chapter 4. For the Good to Great results, the model presented the total Yolo County GPA as well as grades for each statement. Chapter 4 also presents the crosstab results for the two models using the demographic questions that were part of the survey. Chapter 5 will next analyze the survey results and what they mean for Yolo County.

CHAPTER 5: INTERPRETING THE RESULTS

This chapter further explores the results of the two assessments by providing an interpretation of what the raw data symbolizes for Yolo County and its organizational culture. First, I will examine what the OCAI data and what the cultural preferences mean, and just as important, what they do not mean for Yolo County. Second, I will examine the Good to Great Diagnostic Tool assessment data to draw out what the scores may indicate. I will then compare the results of the two assessments to highlight overarching themes that best characterize Yolo County's current organizational culture. Next, I will briefly highlight some possible next steps for Yolo County to move forward with the results. I will then identify future research opportunities that would add to the academic and practical comprehension of examining and assessing organizational culture, particularly in a public sector organization. Finally, I will summarize the thesis and provide some concluding comments.

INTERPRETING THE OCAI ASSESSMENT RESULTS

To understand the results of the OCAI assessment, it is important to be aware of what it means that one type of culture is preferred more or less than what is currently present within the organization. Just as critical, it is important to recognize what a higher or lower preference of a particular culture does not mean to the organization. Accordingly, leaders and managers within the organization that are seeking to develop the culture of the organization should understand that moving from one culture type to another does not mean that aspects of other culture types should be ignored or disregarded. Instead, it means that there should be a particular emphasis, or de-emphasis, made on certain cultural characteristics to manipulate the organizational culture to best move from the status quo to the preferred cultural makeup. In essence, if leaders in the

organization want to successfully adjust and change the organizational culture it is necessary to understand what it means to emphasize or deemphasize a particular culture over another.

Reexamining the overall results of the OCAI model that was completed by all the participants, as shown in Figure 5.1, illustrates that there is a desire from respondents to see more emphasis of characteristics from the Clan and Adhocracy culture types than are currently emphasized in Yolo County. Likewise, the results show a desire for fewer characteristics of the Hierarchy and Market culture types than are currently accentuated in Yolo County. The discrepancy between what is currently present and what is preferred is particularly significant in the Clan and Hierarchy culture types. Cameron and Quinn (2011) offer specifics of what it means and does not mean for Yolo County to increase or decrease the emphasis of a culture type, which are summarized in Table 5.1.

Figure 5.1: OCAI Results – All Participants

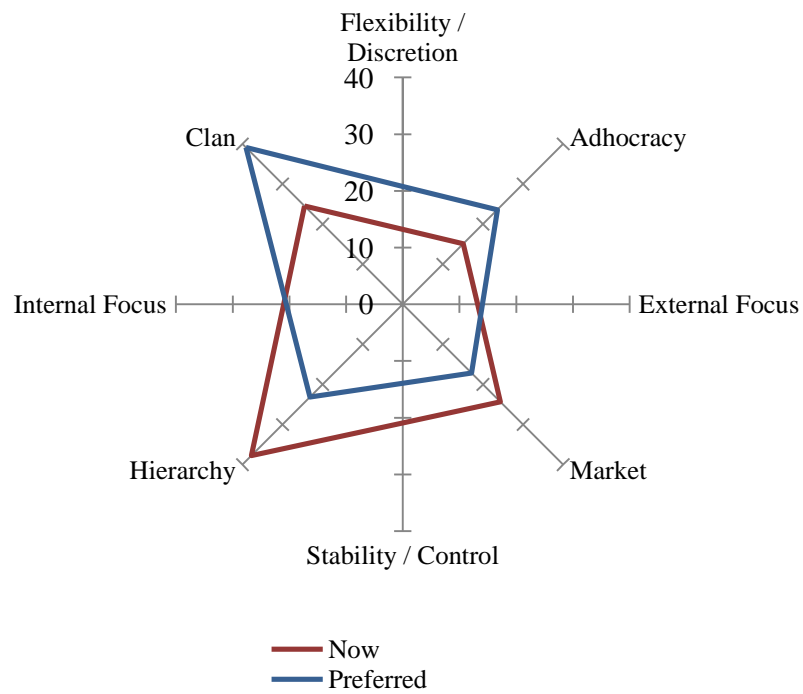


Table 5.1: OCAI Culture Changes: What It Means.../ Does Not Mean... Adapted from Cameron and Quinn (2011)

Clan Culture: Increased emphasis of the characteristics that make up the Clan culture
Means...
<ul style="list-style-type: none"> • More employee involvement, recognition, and freedom to participate and provide input on the operations of the organization • A genuine acknowledgement of employees as a valuable team member contributing to the organization's successes • More frequent and meaningful surveys of employee needs, ideas, and suggestions • Higher levels of trust in an employee's ability to accomplish tasks successfully with less supervision and oversight • Encouragement of teamwork and the subsequent support and appreciation of those that participate as team players in the organization • A more open, supportive, and trusting environment • Freedom for an employee to self-manage is important, promoted, and respected
Does not mean...
<ul style="list-style-type: none"> • Adopting a laissez-faire attitude to organization management • Sacrificing discipline and control in favor of lax standards and freedom without accountability • Tolerating mediocrity and employees slacking-off • Replacing a regimented culture with a culture of excessive niceness • Underperformers remain protected • Tough decisions are avoided to prevent individual feelings from being hurt • Lowering goals and expectations • Teamwork devolves into factions rivaling each other for power • The organization only has an internal focus with disregard for the external environment

Adhocracy Culture: Increased emphasis of the characteristics that make up the Adhocracy culture
Means...
<ul style="list-style-type: none"> • Encouraging more thoughtfully developed risk-taking to create more opportunities to innovate • Listening seriously to customers and their needs • Tolerance for the inevitable missteps associated with trying new things • Fostering a dynamic organization that avoids becoming stagnant • Constantly looking to the future and welcoming change • Creating programs that encourage risk taking and foster innovation of creative alternatives to problems
Does not mean...
<ul style="list-style-type: none"> • Trading careful analysis and deliberation for unnecessarily, uninformed risks • Making changes simply for the sake of change • Blindly spending to have the most innovative resources or to get whatever program is currently in vogue • Selfish independence of employees only looking out for their own interests and ignoring coordination with others • Not meeting goals or covering up mistake or failed risks • Operating the organization with reckless abandon

Table 5.1 (Continued): OCAI Culture Changes: What It Means.../ Does Not Mean...(Cameron and Quinn, 2011)

Hierarchy Culture: Decreased emphasis of the characteristics that make up the Hierarchy culture
Means...
<ul style="list-style-type: none"> • Eliminating cumbersome, ineffective, and unnecessary rules, processes, reports, paperwork, and approvals • Removal of bureaucratic red tape and constraints to employee effectiveness. • Less micromanagement • Less rules and process driven organization • Allowing for more decentralized decision-making
Does not mean...
<ul style="list-style-type: none"> • A chaotic organization with no logical structure • Lack of accountability • No uniformity of rules and regulations • Not monitoring and measuring performance • Management and leaders have weakened authority over employees and must bend to their demands • Changing the organization to take advantage of various situations without rhyme or reason • The organization relaxes, slacks off, and eventually becomes less effectual

Market Culture: Decreased emphasis of the characteristics that make up the Market culture
Means...
<ul style="list-style-type: none"> • Less driving at “numbers” at all costs • Focus on key goals and adapt to human needs just as much as market needs • Financial or budget indicators are not the only important focal points of success within the organization • Energizing employees to meet broad goals and targets that are beyond a fiscal or budgetary measurement • Less of a punishing environment where the fiscal and budgetary drive becomes exhaustive and overbearing to employees • A commitment to excellence and becoming an excellent organization requires more than just budget and fiscal metrics
Does not mean...
<ul style="list-style-type: none"> • Giving up all competition or easing the drive to be successful and execute tasks • Failing to meet goals, lowering standards, or ignoring results • Lowering the expectation of high-quality results for projects and tasks • Missing fiscal targets or ignoring budgets • Neglecting customers or service recipient needs • The organization loses its spirit of driving to compete to be the best organization it can be

Yolo County's OCAI assessment results indicate a preference to see more of an emphasis of the characteristics that make up the Clan culture, which encompasses collaboration, employee empowerment, and a strong commitment to fostering the development of people within the organization. This entails more frequent and meaningful surveys of employee needs, ideas, and suggestions. It involves higher levels of trust in an employee's ability to accomplish tasks successfully with less supervision and oversight. Overall, an increased emphasis on Clan culture characteristics means a more open environment where the freedom of an employee to self-manage is important. Correspondingly, an increase in Clan culture does not mean Yolo County adopts a laissez-faire attitude. It does not mean Yolo County sacrifices discipline and control in favor of excessive niceness with lax standards without accountability.

To a lesser degree, the OCAI results also indicate a preference for an increase in the characteristics of the Adhocracy culture, which includes a creative culture that promotes entrepreneurship, innovation, and unique ways to meet challenges. A more pronounced Adhocracy culture means encouraging more thoughtfully developed risk-taking to create more opportunities to innovate. This means fostering a dynamic organization that avoids becoming stagnant and looks for creative alternatives to problems. Similarly, an Adhocracy culture increase does not mean trading careful analysis and deliberation for unnecessarily, uninformed risks and making changes simply for the sake of change. Nor does it mean selfish independence of employees only looking out for their own interests and ignoring coordination with others. In essence, an increase in adhocracy culture does not mean operating the organization with reckless abandon.

The OCAI results also showed a decrease in the Hierarchy and Market cultures. The characteristics of the Hierarchy culture, which embraces a formal structured chain of command and control that emphasizes stability, predictability, and efficiency, had the greatest change of the

four culture types in the OCAI. A decrease in the Hierarchy culture means eliminating cumbersome, ineffective, and unnecessary rules, processes, reports, paperwork, and approvals in order to remove bureaucratic red tape and constraints to employee effectiveness. It means less micromanagement and allowing for more decentralized decision-making. A decrease in the Hierarchy culture does not mean a chaotic organization with no logical structure, accountability, uniformity of rules and regulations, or monitoring and measuring performance. It does not mean that management and leaders have weakened authority over employees and must bend to their demands.

The OCAI results also show a small decrease in the presence of Market culture characteristics, which covers a competitive organization that emphasizes results and achieving goals. A decrease in the Market culture means less driving at “numbers” at all costs to instead focus on key goals and adapt to human needs just as much as market needs. It means a commitment to excellence and becoming an excellent organization requires more than just budget and fiscal metrics. Employees should be encouraged to meet broad goals that are beyond a fiscal or budgetary measurement. Less of a Market culture does not mean easing the drive to be successful, failing to meet goals, lowering standards, ignoring results, or ignoring budget targets.

INTERPRETING THE GOOD TO GREAT DIAGNOSTIC TOOL RESULTS

While the most of the statements have mediocre scores, as shown in Table 5.2, the top three statements that received the highest GPA are all positive signs for the direction of Yolo County.

Table 5.2: Top Good to Great Statements Ranked by Grade Point Average

Top Statements Ranked by GPA	
GPA	Statement
3.19	Despite whatever tough situations we face, we have an unwavering faith that we can and will succeed in the end.
3.06	Our largest most difficult goals are in direct alignment with our mission.
3.06	Our leaders are building a system that can prosper beyond their presence.

The highest graded statement, “Despite whatever tough situations we face, we have an unwavering faith that we can and will succeed in the end,” is a positive sign. It shows that there is a sense amongst the leaders of the organization that optimism for the future of the organization is high. Leaders maintain faith that the organization will ultimately succeed and persevere through whatever challenges it may face. The fact that leadership is committed to the organization is an important concept to keep in mind before any major change efforts.

The second highest statement, “Our largest most difficult goals are in direct alignment with our mission,” is another positive sign that the leadership team believes that the organization is generally going in the right direction and have taken the steps to continue to move the organization in that direction. They believe the organization has aptly set key goals that appropriately move the organization towards its defined mission. It also alludes to a degree of consensus amongst the leaders that they are all striving towards the same goals that fit with the same agreed upon mission.

The third statement, “Our leaders are building a system that can prosper beyond their presence,” received the same score as the second statement. It importantly shows that leaders believe that the organization is correctly developing and implementing a system within the

organization to promote long-term success. This is an important part of the Good to Great model – the flywheel concept – in which the organization builds sustained momentum in order to continue to grow and develop beyond any particular leader, program, or concerted push to change.

On the flip side, Table 5.3, the lowest scoring statements alert to roadblocks for Yolo County’s organizational development.

Table 5.3: Lowest Good to Great Statements Ranked by Grade Point Average

Lowest Statement Ranked by GPA	
GPA	Statement
1.59	We make excellent use of “stop doing” lists, a list of activities and procedures that do not work and take away from organizational success.
1.88	We have built a culture that so consistently reinforces our core values that those who do not share the values eventually leave the organization.
1.94	We set in place powerful mechanisms that stimulate progress and continually improve.
1.94	We have red flag mechanisms that bring brutal facts to our attention, and force us to confront those facts, no matter how uncomfortable.

The lowest scoring statement, “We make excellent use of ‘stop doing’ lists, a list of activities and procedures that do not work and take away from organizational success,” and the fourth lowest, “We have red flag mechanisms that bring brutal facts to our attention, and force us to confront those facts, no matter how uncomfortable,” hints that the organization is stuck doing the things they have always done, regardless of the outcome, because that is the way it has always been done. For an organization to develop into a learning organization, it must focus all of its effort on the most necessary activities, not those that are ineffectual or unnecessary. Additionally, there must be a formal and open method of highlighting the things that are not working and bringing them to the attention of leadership rather than ignoring or covering up the problem.

The second lowest score, “We have built a culture that so consistently reinforces our core values that those who do not share the values eventually leave the organization,” hints that the culture of the organization is not fully meshing and supporting the core values of the

organization. In particular, they indicate that the culture needed to reinforce the important core values of the organization is not strong enough or penetrative enough to overpower those not fully committed to the change efforts. Those that do not fully buy into the values of the organization and actively incorporate them into their work are allowed to stay in the organization rather than be forced out by those within the organization that do fully subscribe to the values of the organization.

Finally, the third lowest score, “We set in place powerful mechanisms that stimulate progress and continually improve,” alludes to the fact that the stimulation for progress in the organization is lacking which in turn leads to an overriding contentedness within the organization to maintain the status quo. The desire to continuously move towards improvement is imperative for a learning organization that does not want to wait to change when change is needed. At that point, it is already too late.

Despite having low scores, these statements can also be viewed as a positive. It hints that leaders within the organization are recognizing that there are significant concerns with the organizational culture within Yolo County and that things ought to be different. They are recognizing that there are unnecessary and ineffective procedures and rules that should be stopped and that there are individuals within the organization that are not buying into the Yolo County mission. Recognizing that these issues exist may be an indication that they are willing and open to changes that would create an organizational culture that will strengthen the desire to change “the way we always do things” and pressure those that do not buy into the changes to self-select out of the organization.

OVERARCHING THEMES ACROSS THE TWO ASSESSMENTS

So what do these results mean for Yolo County? From the results of the two surveys I found four themes that stood out. First, there is a significant disconnect between the current direction of the organization and the vision of the employees. Second, Yolo County is such a rules and process driven organization that it is beginning to stifle employees. Third, there is a disincentive for healthy risk taking within Yolo County. Finally, focus on short-term requirements and needs at the expense of long-term goals is beginning to affect lasting organizational change. These four major findings highlight important issues Yolo County leadership should consider when they begin addressing an organizational culture change.

Significant Disconnect

While the assessment model does not make any judgments about how great the difference between the now and preferred cultural mix, a significant disconnect can alert to culture issues within the organization. As illustrated by the OCAI, there is a divide between the current direction of the organization and the vision of the employees. The division is primarily along the flexibility / discretion versus stability / control spectrum. Respondents indicated that they would prefer more flexibility, empowerment, and trust than what they are currently receiving within the organization. It appears that employees feel that the current culture that is heavy on control is ratcheting them down and limiting their autonomy. Examining the scores of the various demographic groups shows that this disconnect is true across the organization and not isolated to one particular group. The disconnect between the current direction of the organization and where those within the organization would prefer it to go creates a tug-of-war between the two and hinders organizational performance.

Rules / Process Driven

At its core, Yolo County is a rules and process driven organization, which is by design as a government entity. Over time, society has purposefully constructed the American system of government to be deliberate, structured and controlled. Yolo County is no different. However, excessive rules and procedures can over govern the employee of the organization. It stifles the role of the individual working in the structured position and employees begin to disengage from their work. The stringent rules and processes can eventually become a crutch for the individual and the organization. Employees blame the inability to serve a particular client effectively on rules or regulations that govern particular scenarios with little flexibility to step beyond them. The blame may be fully appropriate, but may be unnecessary. Employees indicated that they would rather be empowered as valued members of the organization with the freedom to know how to address a challenge as best they can. They want to feel that leadership is willing to invest and support them and ultimately help them become better employees.

Disincentive of Healthy Risk Taking

The current culture of the organization does not support healthy risk-taking, or risks with relatively low downsides. For example, an employee could take a risk to reasonably step beyond their job duties and find a solution to a particular problem. Instead, there is a disincentive to innovate, improve, and challenge the status quo. The incentive for the employee is to lay low and not “rock the boat.” This is not to assume that employees are afraid or unwilling to take a risk to help improve the organization. Rather, the culture may discourage this type of response, sending the message to employees that the risk of stepping out of line is not worth it. Eventually, this perpetuates “the way we have always done things.”

Short Term Results Oriented

The assessments hint that Yolo County has a tendency to focus disproportionately on short term results and “check-off” requirements rather than on long-term lasting organizational change. The short-term focus may be necessary for some extraordinary circumstances such as Yolo County’s recent budgetary challenges; however, Yolo County leadership should also consider short term actions or inactions in terms of their long-term effects on organizational culture. Lasting changes to the organizational culture requires long-term focus and constant effort to make sure short term challenges do not derail the long-term goal. For employees, this dichotomy can be especially confusing. When leaders explain that we need to go in one direction for the organization to succeed, but six months down the road, leadership demands a quick change of direction for an urgent need, employees may feel caught in the middle and less motivated to make long-term changes that may be negated for a short-term gain.

SUGGESTED NEXT STEPS

Now that Yolo County has a better understanding of their organizational culture and the cultural shifts needed to reach the desired organizational paradigm, the next step is to begin to map-out possible changes to make the shift. Formulating a plan for beginning and executing a successful organizational culture change effort is well beyond the scope of this thesis and is a much more complex discussion of public administration theories. Nevertheless, I will briefly highlight some basic ideas that Yolo County can consider as it moves forward.

Supplement the Results with Subtext

Discussing the results of the two assessment models amongst key individuals in the organization that have a firm grasp of the overall organizational culture in Yolo County can

provide context and perspective to the results. In particular, the group should discuss the basis of the assessment results, the primary presumptions driving the results, as well as the characteristics and traits currently being emphasized, or not emphasized, within the organization. The discussion should also focus on the type of organizational culture needed to meet future challenges and build the foundation for the direction that leaders intend to take the organization. A postmortem discussion of the assessment results will serve an important role in identifying the underlying assumptions and behaviors that emerged from the assessments.

Open Forum to Learn from Employees

Developing an open and honest discussion forum to discuss, develop and provide recommendations for leadership to consider may identify simple ways to improve the organization. Free from the influence and pressure of supervisors and bosses, the group will have the opportunity to have a healthy and productive conversation about the positives and negatives of the organizational culture. Ideally, the group will be able to highlight some aspects of the culture, both good and bad, that may be unaware to leadership. Additionally, seeking input from across the board helps leadership enroll more people into the process of developing the organization rather than struggling to get them to buy into a plan that they had little say in.

Yolo County has taken steps in this direction by implementing Lean process efforts to systematically review key organizational processes and eliminate any wasted effort or resource expenditure. The Lean process, essentially seeks to preserve the value of a particular program or process, but with as little work exercised as possible in order to be as efficient as possible (Womack and Jones, 1996). Part of this process includes working with employees throughout the organization to weed out inefficiencies and figure out the best way to accomplish a task. While

the Lean process takes upfront investment of resources and time, the potential payoff could be extremely beneficial and lead to long-term cost savings.

Highlight and Build on Small Wins

A way to ease into the organizational culture change process and begin to build some momentum is to start with the “low hanging fruit” by identifying specific actions or steps easily and immediately implemented. These changes have little resistance from those that may be unwilling to radically disrupt the current way of doing things and will help almost instantaneously begin the change process with minimal effort or opposition. Despite being small and incremental, the changes serve as a start towards moving in the right direction.

After identifying and executing the small changes, the next step is to publicize them amongst the organization as a victory towards transforming the organization. Anecdotes and storytelling are an ideal medium for communicating organizational culture changes to employees in the organization. Promoting stories that highlight the key values of the organizational culture that leadership is working on instilling in the organization can help illustrate and convey the new culture to members of the organization. Actual stories and incidents such as these are a dynamic way to articulate the organizational culture changes in a succinct and clear way that allows employees to identify with the specific values, norms, and qualities promoted by leadership. As the small victories amass, the momentum for organizational culture change builds. More importantly, the resistance to the new culture weakens and the bandwagon of supporters grows as the victories kindle positive energy and enthusiasm within the organization.

Communicate Strategically

If you want to show people you are changing, then you actually have to show them that you are changing. Communicating the message that there will be a shift in the organizational culture to the entire organization is integral to successful and sustained change. Not accurately or effectively communicating the message and values will prevent change from ever taking hold. More importantly, if information is not shared as regularly and broadly as possible, the lack of information will be filled with misinformation and uncertainty, which can lead to confusion and increased resistance to change. Some of the communication of the changes may come in the form of overt emblematic changes such as new symbols, slogans, signage, or logos, but it must also become an ingrained and integral part of the process and function of the organization. Therefore, the communication of the culture change must not rest at the top levels of the organization, but must also trickle down to the very roots of the organization. Everyone in the organization must know and understand the changes in order to actively practice the new culture and instill it at the core of the organization. Research indicates that public sector employees that perceive greater clarity of organizational goals and what is expected of them report a higher level of work motivation (Wright, 2004). Meaning, leaders and managers in the organization should always strive to clarify and reinforce key organizational directives and goals.

Ultimately, the most effective way of communicating the new preferred culture is for leadership within the organization to paint a picture of what the new culture looks like. They demonstrate it every day in the way they conduct themselves within the organization and they effectively become the model of the culture they want to see others in the organization emulate. Unless leadership fully buys in and operates under the pretense of the new culture, no one else will buy in.

OPPORTUNITIES FOR FUTURE RESEARCH

This thesis explores an assessment strategy narrowed to only one particular organization at one specific timeframe. Given the rapidly growing interest in studying the factors of organizational effectiveness, particularly the roll of organizational culture there are, many opportunities for future research to build off the results and findings presented in this thesis. Subsequent research ideas identified focus on improving the current assessment strategy, creating a longitudinal study to examine trends, replicate the assessment strategy with other organizations, or use a completely different assessment strategy.

One opportunity for future research is to improve upon the implementation of the assessment strategy, particularly the methodology, to garner a larger percentage of employees participating. For example, better communication to prospective respondents on the process and goals of the assessment, especially with the OCAI, which can appear daunting at first glance, could lead to higher participation and produce different results. Another strategy that may improve upon the methodology is to reverse the survey populations of the two assessment models. Limiting the distribution of the OCAI to only the leadership group and opening the Good to Great Diagnostic tool to the whole population may present a different mixture of cultural characteristics. The assessment models could also be more focused on one department or employment group to hone in the culture of the group. Additionally, the logistical implementation of the assessment models could also be refined, including leaving the survey open longer to allow for participants a longer period to complete each survey or even having participants complete the surveys during an in person visit or interview.

A second opportunity for future research is to turn one or both of the assessment models used in this thesis into a longitudinal study to assess Yolo County's organizational culture over time. Following Yolo County's cultural transformation over an extended period will provide

more data to help identify trends of key cultural characteristics that may be growing or decreasing within the county's organizational culture makeup. With the increased data, county leadership may be able to develop a dashboard to monitor and track the progress towards specific cultural goals in order to supplement a more effective overall organizational development process. This type of study will create a more dynamic depiction of organizational culture in the Yolo County organization than the static snapshot depicted in the narrow assessments conducted in this thesis.

Another opportunity for future research is to replicate the assessment process used in this thesis in other organizations. This would allow for an informed comparison of organizational culture similarities and differences across organizations. For example, conducting the assessments in other county governments allows for comparison of cultural profiles of rural counties to urban counties, between large counties and smaller ones, between wealthy counties and counties struggling financially, between counties in California and counties in other states. Extending the analysis, and subsequent comparisons, beyond counties to cities, school districts, sheriff's departments or other public sector organizations to private sector organizations will allow for additional comparisons. The goal of creating such a broad spectrum of organizational culture analysis can provide Yolo County leaders, as well as other organizational leaders, with the context to where their organizational culture makeup fits with the likes of other organizations, both similar and different.

A final future research opportunity is to employ a different assessment strategy than the ones used in this thesis. Utilizing another organizational culture assessment strategy rooted in different theories and frameworks and utilizes a different model and methodology may produce different results from a different perspective of culture and its role in an organization. A new assessment strategy would view the organization through a different lens and have a different emphasis, assessment criteria, and cultural influences. More specific to Yolo County, other

assessment models may provide leaders with a second opinion of the cultural makeup within Yolo County to inform any major organizational change plans before undertaking a drastic transformation. For example, assessment strategies that are qualitative and intensively interview focused could provide new detailed information about Yolo County's organizational culture not evident in the assessments used in this thesis.

CONCLUDING COMMENTS

The analysis and recommendations of this thesis intend to be a preliminary investigation of the organizational culture of Yolo County and lay the framework for additional thought and discussion as Yolo County proceeds along its journey of organizational development. Nevertheless, the observations and recommendations are appropriately rooted in sound evidence gathered using two theoretically grounded organizational culture assessment models, the OCAI and the Good to Great Diagnostic Tool.

For a large public organization like Yolo County, creating and instilling the organizational culture that is most advantageous for the development of an effective and efficient organization is extremely challenging. In spite of this, the determined efforts of Yolo County leadership to create the culture conducive to becoming a learning organization cannot be undervalued. Yolo County is ahead of many public organizations in looking in the mirror and honestly assessing its efforts and identifying areas for improvement. They understand that if they continue to operate as they always have, they will continue to get the results they have always gotten, which may or may not be the results necessary for a successful future. Yolo County has a strong foothold for thinking conceptually and strategically about how culture fits into the big picture of the organization. Going forward, the findings seek to refine and further this process, by providing Yolo County leaders with more information and another tool to use in its change

efforts. My hope is that this thesis will spur Yolo County to view their ongoing experience with developing and shaping their organizational culture from a more informed perspective that will facilitate a sustained thinking of how the deeply rooted cultural characteristics are shaping the behaviors of the organization. Ultimately, I believe these efforts will allow Yolo County to better accomplish its critical task of serving its residents as effectively and efficiently as possible.

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