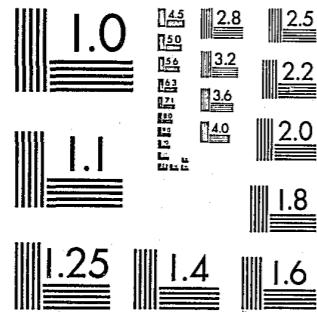


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1/03/83

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SEPTEMBER 1982

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Administrative Office of the United States Courts, Washington, D.C. 20544

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Washington, D.C. 20402

Federal Probation

A JOURNAL OF CORRECTIONAL PHILOSOPHY AND PRACTICE

Published by the Administrative Office of the United States Courts

NCJRS

VOLUME XXXXVI

SEPTEMBER 1982

NUMBER 3
OCT 82 1982

This Issue in Brief ACQUISITIONS

Homicides Related to Drug Trafficking.—Homicides as a result of business disputes in the distribution of illegal drugs appears as a new subtype of homicide in the United States, report authors Heffernan, Martin, and Romano. In this exploratory study of 50 homicides in one police precinct in New York City noted for its high level of drug dealing, 42 percent were found to be "drug-related." When compared with non-drug-related homicides in the same precinct, the "drug-related" more often involved firearms and younger, male victims.

Management Theory Z: Implications for Correctional Survival Management.—Increased workload and decreased budgets are realities facing correctional management during the remainder of the 1980's, asserts Dr. William G. Archambeault of Louisiana State University at Baton Rouge. This means that fewer employees must be motivated to produce more and higher quality services. Faced with a similar dilemma, American business and industry have "discovered" Theory Z management and have demonstrated its pragmatic value. This article analyzes the utility of Theory Z in correctional organizations and outlines the steps necessary to implement this approach.

Making Criminals Pay: A Plan for Restitution by Sentencing Commissions.—Attorney Frederic R. Kellogg writes that the recent controversy over the insanity defense has focused public doubt over the criminal justice system. It highlights the need not for further tinkering but for wholesale reform. This recent proposal would classify offenses according to harm and enforce restitution in every case. It would sweep away the entire uncoordinated panoply of postconviction proceedings and replace them with a well-staffed sentencing commission of experienced trial judges whose assignment would be to assess the harm done by the of-

fender and collect judgment to repay the victim and the state.

Information Processing in a Probation Office: The Southern District of Georgia Experience.—Chief Probation Officer Jerry P. Morgan believes there is a place for word/information processing in the probation office. In establishing a system in the Southern District of Georgia, local sentence comparison became the first project followed by

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Management Theory Z: Implications for Correctional Survival Management

BY WILLIAM G. ARCHAMBEAULT, PH.D.

Louisiana State University at Baton Rouge

IN THE PRESENT era of economic recession, budget cuts, reduced manpower, residual Proposition 13 fever among the taxpaying public, and the continued prospect of operating at or near capacity, American corrections must learn to manage limited resources more efficiently if it is to survive. American business is already starting to develop its own survival management model based on the study of Japanese management techniques which may provide American corrections with a framework for developing its own survival management model.

Slightly more than four decades ago, Mitsubishi Heavy Industries, Ltd., of Japan reformed

American scrap metal and discarded aeronautical technology into the light weight, efficient, and now famous fighter plane, the Zero. Today, Japanese business and industry have reformed American management technology into another kind of light and efficient Z-fighter—Management Theory Z. Experts credit this Z with making it possible for Japanese industry to outpace and business to outsell American counterparts.

Management Theory Z is currently being exported back to the United States as an approach which offers to save the American business, industry, and economy. Major U.S. corporations—including GM, Rockwell International, Eli Lilly, among others¹—are investing hundreds of thousands of dollars researching and training management in Z theory. Ironically, top Japanese

¹William G. Ouchi, *Theory Z: How American Business Can Meet the Japanese Challenge*, (New York: Avon, 1982), p. 186.

executives candidly admit that they simply adopted American management technology to their own cultural and social values.²

The success of the Z-Theory lies in its ability to motivate workers—both Japanese and American—to achieve higher levels of productivity and to engender a higher level of personal commitment to the organization, as compared to more bureaucratic types of organizations. Z-theory organizations tend to be more flexible in adjusting to changing economic and business conditions, more cost-effective, require fewer numbers of employees to accomplish similar jobs. The success of this approach in American settings places the issue of increasing productivity squarely on differences in traditional American management style, rather than on the quality of the American worker.³

This article examines some of the basic tenets of Theory Z and their application to correctional management.

Understanding Management Theory Z and Its Origins

In general, Theory Z is an organizational development (OD) model for restructuring and managing an organization more efficiently; it is an American abstract framework and term which has recently been applied to the study of Japanese business organizations. Theory Z focuses on the importance of the social and cultural dimensions of the work environment and the use of these in establishing an environment which encourages worker productivity and personal commitment.

The roots of Theory Z are founded in contemporary organizational management theory, although there appears to be some debate over who first employed the term. William Ouchi is credited with having "coined the term Theory Z" as a result of having studied successful Japanese industry,⁴ although the author appears to carefully avoid making such claims in his own writings. In fact, reference to Theory Z and a statement of its basic assumptions appeared in a 1973 article by Lawrence Foss. Wrote Foss, "Theory Z stresses relations between organizational life and individual life . . . through the medium of the social

field . . ." within the organization.⁵ Foss' central hypothesis was that effective organizational management had to be based on three dimensions: (1) concern for productivity which is also associated with McGregor's X theory of management; (2) concern for people (workers) which is associated with McGregor's Y theory; and (3) concern for the organization as a total social system which became the Z dimension. An effective and efficient organization must balance all three dimensions.

Both Ouchi and Foss were influenced by works of Herzberg, Likert, Maslow, and others of the human relations and organizational development (OD) movements.⁶ Foss, however, obliquely derived his conceptualization of Theory Z by attempting to integrate such concepts as "spaceship world" and "cowboy management." Further, Foss' rationale included the notion that modern-day workers, born into an era of American economic affluency, could only be motivated by appealing to their senses of self-esteem and self-actualization. Foss' work on Z seems to have had little impact on management theory or practice because it was too abstract and idealistically stated.

Ouchi's management Theory Z, however, was founded on more conservative and easy to understand ideas which not only provided an abstract framework for explaining why Japanese corporations were so successful, but also provided a practical blueprint for reorganizing American businesses. The current credibility of Management Theory Z among American business and industry is that it produced positive results, in the United States as well as in Japan.

Regardless of Theory Z's origins, it is an idea whose time has come. Theory may have some clear application to the problems of American correctional management.

Adapting Theory Z to American Correctional Management

The central task facing all correctional organizations today is that of making more efficient use out of available resources. Essentially this means that fewer workers—correctional officers, parole agents, childcare workers, etc.—must be motivated to produce a greater volume and higher quality of services. Management Theory Z provides a framework for accomplishing these goals.

Theory Z, like all theories developed in business and industry, must be modified in order to be adapted to any correctional organization. Adapta-

tion must take into account the public, tax supported, and politically vulnerable nature of correctional organizations, as well as the reality that correctional goals are vague and measures of productivity are often unclear or nonquantifiable. All are problems which have historically plagued corrections' evaluation of management efforts. On the other hand, the "human resource" nature of corrections⁷ and the particular degree of personal commitment to corrections work already held by corrections employees may well offset these problems. For the immediate future, American correctional management will be deprived of the option of employing increased economic incentives as rewards for correctional workers. Hence, more effective use of alternative incentives must be utilized.

To increase worker productivity, Theory Z directs that three essential management conditions must be achieved. First, management must increase the level of trust between worker and manager. Second, management must develop a holistic concern for the worker's welfare. Thirdly, management must develop an effective system of shared decisionmaking. These will be discussed below.

Developing Trust.—Trust between management and worker is the one essential, but missing, element which Japanese see as missing in most American organizations. Trust is cultivated by management in a variety of ways. The most basic of these are that managers must set the example of good work habits for their employees, be flexible and demonstrate willingness to perform different duties as needed by the organization, and share the burdens of increased workloads, salary cuts, or other unpleasant consequences of depressed economic conditions.

For correctional management, this means that, if parole officers are required to increase their caseloads, then supervisors must be willing to do the same. If correctional officers are expected to rotate among a variety of different posts or duty assignments, then managers must also be in evidence. When budgetary cutbacks make it impossible to fill vacancies or where positions must be cut, management must also share.

Developing a Holistic Concern for Employees.—Another important feature of a Z organization, and one which also builds trust and worker commitment is a holistic concern for the worker's welfare. A holistic approach to management recognizes

that the individual worker is a part of a larger social world of family, financial, and personal concerns. The willingness of management to deal with these concerns re-enforces the worker's trust and personal commitment. For example, working mothers with children need assistance in finding inexpensive quality childcare, close to the mother's work, and need empathetic understanding when the occasional, yet predictable, family crisis occurs. The young employee who is concerned about obtaining advanced education needs assistance in arranging work schedules around class schedules. All employees need to be guided toward promotional and career goals in a manner which provides the worker with a defined path and reasonable level of personal security. Employees need to be given assurances that all other alternatives will be exhausted before a person is laid off and that continued employment is a reasonable certainty.

In giving such assurances and assistance, however, management has the obligation of clearly delineating the obligations of the employee toward management and the organization. In exchange for management's holistic approach toward the worker, the worker is expected to be flexible in accepting job assignments, slower promotion rates, and lower salary increases. Co-workers are expected to police themselves and openly show disapproval of anyone abusing management's trust.

Correctional management has more resources at its disposal to aid it in developing a holistic approach toward workers than does business. Correctional workers—whether correctional officer, social worker, or probation officer—need to feel that what they are doing is important and that they are doing a good job. Hence, correctional workers by the nature of their work environment are potentially receptive to a holistic approach in managing them. The nature of correctional work brings employees into daily contact with offenders who negatively reinforce the self-perception of "doing a good job." Hence, the need for positive reinforcement is especially strong. Trained management supervisors can provide the worker with rewards which money incentives cannot buy, which benefit both the worker and management, and which cost the correctional organization nothing but a few minutes of honest management concern.

Developing Shared Decisionmaking.—Historically, correctional management and administration have been founded on Webberian and Fayolian concepts of organization which tend to reject the notions of

²"How the Japanese Manage in the US," *Fortune*, 103 (12), June 15, 1981, pp. 97-105.

³*Ibid.*

⁴Advertisement of Ouchi's book (fn. 1) appearing in *Time*, January 18, 1982, p. 84.

⁵Laurence Foss, "Managerial Strategy for the Future: Theory Z Management," *California Management Review*, 15(3), Spring, 1973, pp. 68-81.

⁶For a discussion of these refer to "Human Relations and Organizational Development Theories," *Correctional Supervisory Management: Principles of Organization, Policy, and Law* by Archambeault and Archambeault, (Englewood Cliffs, N.J.: Prentice-Hall, 1982, pp. 89-94).

⁷*Ibid.*, p. 90.

shared decisionmaking in favor of centralized authoritarian decisionmaking. This is particularly true of custody institutions and state bureaucratic administrative organizations. Prior attempts toward participatory forms of management have not been generally successful in corrections.

However, the successful implementation of Theory Z requires that management must be willing to share decisionmaking with employees and increase the level of worker-manager interactions. Allowing workers to share in decisionmaking which directly affects them does not abrogate management's authority or prerogatives. Nor does it mean that employees have a voice in *all* decision-making or have the right to act contrary to management's decisions.

It does mean, however, that in all matters which directly affect the welfare of employees, they are assured of having input. For example, suppose a local correctional institution, operating to capacity, suffers budget cuts which will make it necessary to reduce personnel costs by some specified amount, say 7 percent. Suppose that the alternatives facing management are either to reduce the total number of presently filled positions by 7 percent or to spread the reduction among employees by having each employee work one day every other week, but not get paid for that day. The outcome of such a decision would likely receive a great deal more support from the affected employees, if they are allowed to participate in the decision and are presented with the fiscal evidence which justifies the necessity of such a serious action.

Shared decisionmaking, however, requires that managers be trained in group decisionmaking. It also requires a breakdown of unnecessary bureaucratic impersonality and social distance between worker and manager. In most American correctional organizations managers are often physically, as well as socially, removed from the actual work setting. Like other American workers, correctional employees often wonder just how much work is really being done behind closed office doors and sometimes feel that management is so far removed that it is incapable of understanding the real problems confronting the correctional

officer, the probation officer, teacher, or child care worker. Mistrust leads to excuses for inefficiency and waste which can no longer be tolerated.

Although the realities are that most managers are indeed very busy people and are usually aware of what is going on, worker perceptions are often to the contrary. To correct this and to increase the level of interaction between manager and worker, Z type organizations often move managers' desks onto the production floor where workers can observe and appraise manager workloads and habits. In Z type organizations the emphasis is on developing teamwork and the perception that the manager's job is simply an extension of the worker's, thereby increasing the level of trust. From upper administration's point of view, this arrangement also allows tighter control of lower ranking managers and supervisors. Bureaucratic worker paranoia and game playing among managers are reduced in Z organizations by grouping management teams in centralized nonpartitioned rooms.⁸ Such actions may improve organizational efficiency in many correctional organizations, particularly in the central office of many state departments.

Steps Toward Theory Z Implementation

Every correctional organization is unique and the following steps in implementation may occur in a different order than presented. However, all must be eventually accomplished if the management approach is to have any chance of success.

Step 1: Read About Theory Z.—Ouchi⁹ notes that the first step in implementing Theory Z in any organization is to get managers to research and read information on Theory Z in order to become familiar with the ideas, the potentials, and limitations of this approach. To this end, additional references are provided at the end of the article.¹⁰

Step 2: Get Top Management Involved.—The second step involves selling top management on the potential benefits of Theory Z. To have any chance of success, top management must be convinced and committed to the idea of implementing Theory Z on an organization-wide basis.

Step 3: Evaluate Your Organization's Management Policies.—In this step management evaluates its own organizational policies¹¹ and procedures and answers the following questions: Are policies clearly written, readable, and easily comprehensible by the employee group which is expected to implement them? Are the philosophy, goals, objectives, and mission of the correctional organization and every subdivision current? Are personnel

policies written with sufficient discretion that supervisors and managers can adequately address the holistic concerns of workers? Are policies written in a way which allows shared decisionmaking with workers? Are those areas of shared decisionmaking clearly delineated from those where centralized decisionmaking must be maintained? Are policies written in a way which fosters manager-worker interaction, trust, and teamwork? Obviously, where the answer to any of these questions is no, corrective action is required.

Step 4: Train Supervisors and Managers at All Levels.—The Theory Z approach to management can be successful only if it is implemented on an organization-wide basis. All supervisors and managers, not just a few first supervisors or mid-level managers, must be trained in the Z approach. Most correctional supervisors and managers will need extensive training in leading group shared decisionmaking, since many will initially be resistant to this nontraditional approach.

Step 5: Implemented From the Top Down.—Planned implementation is necessary. To be successful, Theory Z must first be implemented in systematic phases from the top levels of the organization down through the various levels of the organization. Z organizations depend heavily on positive management leadership because, once in place, it stresses loyalty to superiors and to the organization as a whole.

Step 6: Involve Unions and Employee Leadership.—From the earliest stages of implementation, management should try to involve unions and employee leadership in the implementation of Z. Traditional union diehards may initially be threatened by the Z approach since it orients management to address the types of worker concerns, such as working conditions and stabilized

employment, which are typically represented by union and collective bargaining interests. If management is committed to making Z work, however, such resistance will be quickly overcome once employees recognize management's sincerity.

Step 7: Plan To Evaluate and Revise.—The secret of Z type organizational success lies in its flexibility to adapt to changing economic and political conditions. Organizational flexibility is conditional on worker productivity, commitment to the organization, and flexibility. Theory Z provides a framework to create a work environment which encourages worker productivity, commitment, and flexibility. However, the Theory Z approach, like any other, must be continually evaluated in terms of effect and effectiveness. Policy and training require periodic revision and updating as conditions change.

Summary and Conclusion

Increased workload and decreased budgets are realities facing correctional management during the remainder of the 1980's. This means that fewer employees must be motivated to produce more and higher quality services. Without the availability of economic or promotional incentives, correctional managers are faced with a seemingly impossible task under traditional bureaucratic forms of organizational management, typically found in most American correctional agencies and institutions today.

Faced with a similar dilemma, American business and industry have "discovered" Theory Z management approach and have demonstrated its pragmatic value. Theory Z, as has been discussed in this article, offers promising alternatives for American correctional management as well. Z Theory is an idea whose time has come.

ONE of the very great challenges in corrections today is how probation management, especially in metropolitan areas, will respond to the demands that change puts upon it.

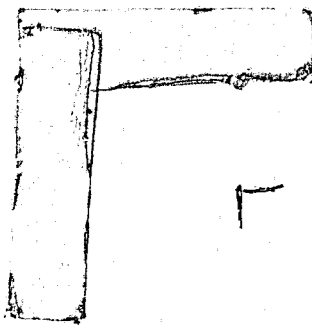
—JOHN F. KOONTZ, JR.

⁸Ouchi, pp. 60-79.

⁹Ouchi, p. 85.

¹⁰Also see William Ouchi and Jerry Johnson, "Types of Organizational Control and their Relationships to Emotional-Well-Being," *Administrative Science Quarterly*, 23 (June 1978); Thomas Reblon, *Harmony and Strength: Japanese White-Collar Organizations in Anthropological Perspective*, (Berkeley: Berkeley Press, 1974); Robert C. Kohn, *Work, Mobility, and Participation*, (Berkeley: Berkeley Press, 1979).

¹¹Refer to Archambeault and Archambeault, "Correctional Policy and Policy Making" (Chapter 6), "Role of the Correctional Supervisor in Organizational Policy Making" (Chapter 7), and "Essentials of a Communications Process" (pp. 284-294), *Correctional Supervisory Management*, op. cit.



END